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ABSTRACT

Several articles present suggestions on how to prepare a sound proposal for foundation or government funding. The special characteristics of foundations are described, and information is given on matters of policy and personal relationships. A sample proposal serves to illustrate the basic sections found in most proposals. The university offices are described that aid the development of a proposal and that grant final approval. (Author)

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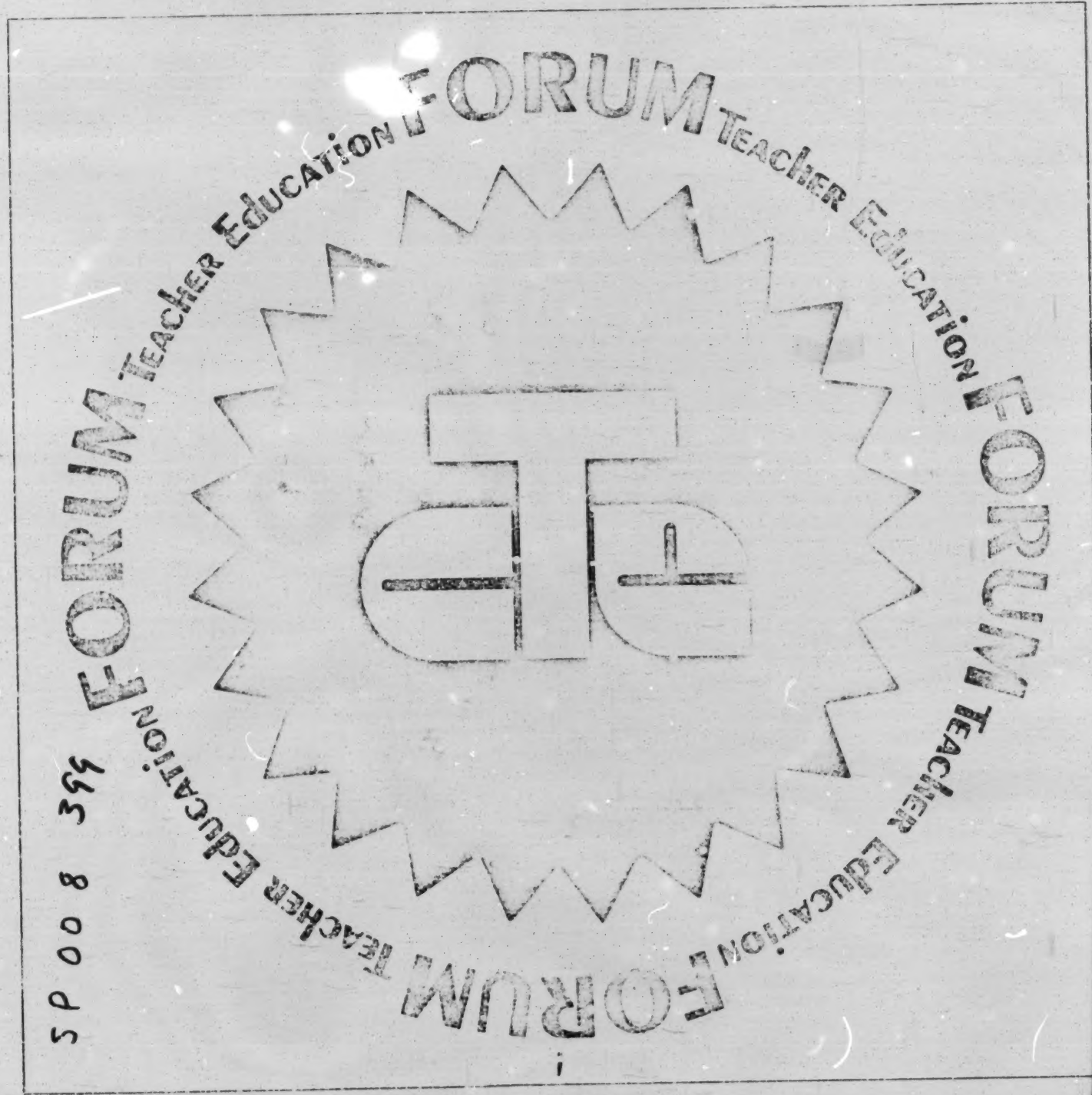

SP 008 396

HELPFUL HINTS FOR EXTERNAL FUNDING

PROPOSAL DEVELOPMENT

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division of teacher education
309 education building
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August, 1973

Volume 1 Number 12

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A SERVICE OF THE EXTERNAL PROPOSAL DEVELOPMENT TEAM

During times when competition is keen and funds are lean, consideration must also be given to the omnipresent age of accountability. The enterprising grantsperson must not only be able to demonstrate his/her understanding of a problem and sell his/her possible solutions for improving conditions or creating innovative designs, but must be able to justify financial support in terms of would-be observable gains. In the quest for external funding, the proposal writer needs to develop creative problem-solving skills into a well written plan of action that nevertheless must follow a rather rigid format. Upon receiving a grant, the researcher will be expected to evaluate continuously and write periodic reports on his/her project's progress.

Although the formulation of a provocative but precise grant proposal must take into account both the technical intricacies of effective proposal development and the dynamics of personality and policy operating within the granting agency, this document tends to take the former of the two above aspects as its major emphasis. Before one can attempt to mold problem-oriented ideas, personal skills, and available facilities into a credible and coherent model for action, one must first have a solid understanding of the interpersonal dynamics, appropriate "bases to touch," program priorities, procedures, and areas of emphasis for the "packaging" of proposals. Not to be forgotten are the more routine details of deadlines, routing, and maintenance of personal contacts. The following perceived "helpful hints" may help provide a degree of insight into the inner workings of external proposal development and thus hopefully prevent the capable grantsperson from being overcome by the minutiae of proposal presentation.

Acknowledgments

Seldom are the efforts of a few brought to fruition without the help and encouragement from many individuals. The completion of this document would not have been possible without the generous support and assistance of several agencies and numerous persons. We wish especially to acknowledge the advice and encouragement provided by the Coordinating Associates of the DTE: Ed Buffie, Roger Farr, Leo Fay, Art Oestreich, and Sue Shuster. Grateful appreciation is also extended to Glenn Ludlow (Associate Dean for Research and Advanced Studies), Ray Martin (Contract Administrator, and Assistant Secretary of the Indiana Foundation) and Myrtle Scott (Associate Dean for Research and Research Training-School of Education) for many valuable conversations. Appreciation must also be extended to those faculty too numerous to mention who have submitted a host of proposals since the Division's inception. These proposals served as the vehicles to establish the processes from which this document was conceived. The works of this most remarkable group of faculty are listed in the text of this document.

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A note of gratitude is also extended to individuals who "man the bases" that must be touched: the Office of Administrative Services-School of Education, the Office of the Associate Dean for Research and Research Training-School of Education, the Office of the Vice-Chancellor for Research and Development-Bloomington Campus, and the Office of the Vice-President for Research and Advanced Studies-Indiana University.

Much indebtedness is owed to the Project Development Office for providing and extending courtesy to reprint many of its insightful dittoed and mimeoed handouts along with the official routing forms. These include "Tips on Proposal Writing," "Ten Myths About Foundations and Their Giving," and "Ten Pointers for Obtaining Support from Foundations." Special thanks are extended to Doris H. Merritt, Associate Dean for Research and Advanced Studies and Dean for Sponsored Programs (School of Medicine-Indiana University) for permission to reprint "Grantsmanship-An Exercise in Lucid Presentation" and to Yorke Allen, Jr. for inclusion of his conference paper "How Foundations Evaluate Requests." The Division of Teacher Education is gratefully indebted to The Grantsman Quarterly Journal for copyright releases in the form of permission to reprint Lawrence J. Lasoncy's "Grantsmanship," Leslie Westin's "Strategies for Developing and Writing a Successful Proposal," John Nichols' "Bring Up and Intensify Meaning by the Use of Metaphors in Proposal Writing" and Donna Decker and Garrisson Addis' "Foundations, Their Pressures and Implications for the Proposal Writer." The Division of Teacher Education also expresses gratitude to the Phi Delta Kappan for copyright releases in the form of permission to reprint Michael Chiappetta's "If You Lose on Every Sale, Maybe You Can Make Up for It in Volume" and Thomas D. Clemens' "A Fed's-Eye-View of Chiappetta." And last but not least, a special thanks is extended to Susie Logsdon for her extensive "leg-work," typing, and assembling of this document.

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INFORMATION PLEASE... PICK A WINNER...

(The Need for Information)

PUBLICATIONS ON GRANTS AND CONTRACTS

(An Annotated List)

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AAC SPECIAL BULLETINS: Federal Relations Advisory Service, Association of American Colleges, 1818 R Street, N.W., Washington, D.C. 20009. Free. A series of publications issued as needed, average eight times per year, by the Federal Relations Advisory Service dealing with topics on federal funding of particular interest to liberal arts institutions. Bulletin Number 3, for example, provides a listing of federal agencies which support research in the social and behavioral sciences and the humanities. Bulletin Number 4 addresses itself to the creation of a government relations office on a small college campus.

A BASIC GUIDE FOR THE PREPARATION AND SUBMISSION OF PROPOSALS FOR RESEARCH SUPPORT: By Foster S. Buchtel (1970). Western's Campus Bookstore, Western Michigan University, Kalamazoo, Michigan 49001. $1.50. "Fairly good."

ADMINISTRATIVE MANAGEMENT: Geyer-McCallister Publishers, 51 Madison Avenue, New York, N.Y. 10010. $7/year, (monthly). A monthly magazine specializing in program management, funding sources and related fields.

A GUIDE TO FEDERAL FUNDS FOR URBAN PROGRAMS AT COLLEGES AND UNIVERSITIES: (1971) American Association of State Colleges and Universities, One Dupont Circle, Washington, D.C. 20036. $3.00.

A GUIDE TO GRANT AND AWARD PROGRAMS OF THE NATIONAL INSTITUTES OF HEALTH: U.S. Department of Health, Education and Welfare, Public Health Service, National Institutes of Health, Division of Research Grants, Bethesda, Maryland 20014.

AIR/WATER POLLUTION REPORT: P.O. Box 1067, Blair Station, Silver Spring, Maryland 20910. $90/year.

A MANUAL FOR OBTAINING FOUNDATION GRANTS: By Louis A. Urgo and Robert J. Corcoran. Robert J. Corcoran Company, 40 Court Street, Boston, Mass. 02108. 1971. $5.75.

A MANUAL FOR OBTAINING GRANTS: By Dr. Louis A. Urgo. Office of University Research, Boston College, Chestnut Hill, Massachusetts 02167. 1969. $3.00.

AMERICAN EDUCATION: Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402. $4.50/year. A magazine published 10 times a year with articles on federal programs in education and good statistical data on federal funds to education. Particularly good for elementary and secondary education information.

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ANNUAL REGISTER OF GRANT SUPPORT: Academic Media, Inc., 32 Lincoln Avenue, Orange, N.J. 07050. $39.50. Basic book very helpful, but not complete.

ARMED SERVICES PROCUREMENT REGULATIONS: Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402. $64.00. Includes manual and periodical supplement. This regulation establishes for the Department of Defense uniform policies and procedures relating to procurement of supplies and services under authority of Chapter 137, Title 10, U.S. Code, or under other statutory authorization. The regulation applies to all purchases and contracts made by the Department of Defense, within or outside of Continental U.S., for procurement of supplies or services which obligate appropriated funds.

A SELECTED LIST OF MAJOR FELLOWSHIP OPPORTUNITIES AND AIDS TO ADVANCED EDUCATION FOR FOREIGN NATIONALS: (Pamphlet) National Academy of Sciences, Washington, D.C. September, 1970.

BEHAVIORAL SCIENCES NEWSLETTER FOR RESEARCH PLANNING: American Institute for Research in the Behavioral Sciences, 135 North Bellfield Avenue, Pittsburgh, Pa. 15213. Free. A weekly newspaper that lists new programs for education support by federal agencies, plus details on pending legislation. A good source for personnel changes in higher education and for details on upcoming conferences and national meetings.

COLLEGE AND UNIVERSITY BUSINESS: McGraw-Hill Publishing Company, 1050 Merchandise Mart, Chicago, Illinois 60654. $12/year. (May be free to higher education administrative personnel).

COLLEGE AND UNIVERSITY REPORTS: Commerce Clearing House, Inc., 4025 W. Peterson Avenue, Chicago, Illinois. $495.00/year. A set of notebooks updated weekly with information on federal programs for higher education. The notebooks are supplemented by a weekly newsletter that is particularly useful for following pending legislation and legal matters affecting colleges and universities. These documents are intended as a factual resource and contain relatively little interpretation or analysis.

COLLEGIATE NEWS AND VIEWS: College Department, Southwestern Publishing Company, 5101 Madison Road, Cincinnati, Ohio 45227. Free. A service publication for administrators and teachers of business and economic subjects in colleges and universities.

COMMERCE BUSINESS DAILY: Superintendent of Documents, Government Printing Office, Washington, D.C. 20402. $40/year. A daily newspaper listing all procurement data for the federal government covering "Request for Proposals" and announcements of upcoming research and development awards (including sole source contracts). Prime source for all contracts.

COMMERCE TODAY: Department of Commerce, Washington, D.C. $15/year. A polished periodical having new ideas that help in business, industry, and overseas projects.

CONGRESSIONAL RECORD: Superintendent of Documents, Government Printing Office, Washington, D.C. 20402.

CONSUMER NEWS: Office of Consumer Affairs, Executive Office of the Presi-

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dent. $1./year. Directs attention to Federal Register items. Minimal use for grantees.

DEVELOPING SKILLS IN PROPOSAL WRITING: By Mary Hall Office of Federal Relations, Extension Hall Annex, Oregan State University Campus, Corvallis, Oregon 97331. 1971. $10. Steps in writing grants. Good source. No administration coverage.

DIRECTORY OF EUROPEAN FOUNDATIONS: Edited by Giovanni Agnelli Foundation. Basic Books, Inc., 404 Park Avenue, S., New York, N.Y., 10016. 1969. $7.20. Many of these foundations give money to groups within the United States.

DIVISION OF RESEARCH GRANTS NEWSLETTER: Office of Information, Division of Research Grants, National Institutes of Health, NIH Building, Rockville Pike, Bethesda, Md. 20014. Free. A newsletter oriented to programs, deadlines and other activities of NIH.

DMS: McGraw-Hill, Inc., DMS Building, 100 Northfield, Greenwich, Conn. 06830.

DRG/NIH NEWSLETTER: Office of Information, Division of Research Grants, National Institutes of Health, NIH Building, Rockville Pike, Bethesda, Md. 20014. Free. Very informative.

EDP INDUSTRY REPORT: 60 Austin Street, Newtonville, Mass. 02160. $75/year.

EDUCATION COLORADO: Colorado Department of Education, Division of Publications and Public Information, State Office Building, Colfax and Sherman Streets, Denver, Colorado 80203. Free. Dedicated to improvement of education in Colorado.

EDUCATION-TRAINING MARKET REPORT: 4706 Bethesda Avenue, Washington, D.C. 20014. $72./year.

EDUCATIONAL RESEARCHER MAGAZINE: Educational Researcher, American Education Research Association, 1216 16th Street, N.W., Washington, D.C. 20036. $5./ year. A newspaper issued seven times a year listing current and proposed educational research.

ENVIRONMENT REPORT: National Press Building, Washington, D.C. 20004. $60./year.

FAR HORIZONS: U.S. Department of State, Office of External Research, Washington, D.C. $1./year. A bi-monthly newsletter giving information on overseas research and education programs of the major federal agencies. Also cites new publications in the field.

FEDERAL FUNDS AND SERVICES FOR THE ARTS: OE-50050. Superintendent of Documents. U.S. Government Printing Office, Washington, D.C. 20402. 1967. $1.00.

FEDERAL LAWS: HEALTH MANPOWER, 1970-71: The Science and Health Communications Group, 1730 Rhode Island Avenue, N.W., Washington, D.C. 20036. $12.50.

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FEDERAL PROCUREMENT REGULATIONS: Superintendent of Documents, Government Printing Office, Washington, D.C. 20402. $12.00. Includes manual and supplements. Transmits new or revised Federal Procurement Regulations material prescribed by the Administrator of General Services under the Federal Property and Administration Services Act of 1949.

FEDERAL REGISTER: Superintendent of Documents, Government Printing Office, Washington, D.C. 20402. $40./year.

FEDERAL RESEARCH REPORT: 104 S. Michigan Avenue, Suite 725, Chicago, Ill. 60603. $17./year.

FELLOWSHIP GUIDE FOR WESTERN EUROPE: 2nd Edition, Council for European Studies, 213 Social Sciences, University of Pittsburgh, Penn. 15213. $2.

FOREIGN AFFAIRS RESEARCH: A DIRECTORY OF GOVERNMENTAL RESOURCES (1969). Department of State, Washington, D.C. 20502. Free.

FOUNDATION DIRECTORY: Columbia University Press, 136 South Broadway, Irvington, N.Y. 10533. $15. Formerly published by Russell Sage Foundation. Outdated by the time it is printed but it is being computorized to update it. Good source of addresses, resources and purposes of American private foundations.

FOUNDATION GRANTS INDEX: Columbia University Press, 136 South Broadway, Irvington, N.Y. 10533. $10. This gives amounts of awards.

FOUNDATION NEWS: Council on Foundations, Inc., 888 Seventh Ave., New York, N.Y. 10019. $10./year. Most helpful and useful. All types of insights. Interviews (as with Johnson Foundation). Contains listing by different foundations, but not by individual projects.

FUNDS FOR UNDERGRADUATE BIOLOGY DEPARTMENTS AND HOW TO FIND THEM: (Publication No. 29). The Commission on Undergraduate Education in the Biological Sciences, 3900 Wisconsin Ave., N.W., Washington, D.C. 20016. Free.

GDP'S U.S./R&D: 442 Washington Building, Washington, D.C. 20005. $50./year.

GRANTS ADMINISTRATION: By William Willner and Perry B. Hendricks, Jr. Published by National Graduate University, 1630 Kalmia Road, Washington, D.C. 20012. 1972. $12.50. A valuable reference for grant and contract regulations including costs and property, how to administer a grants office. Also lists OMB Circulars by number and title.

GRANTS ADMINISTRATION MANUAL: $3.50 for manual and $4.00 for updating supplements. Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402. A loose-leaf manual issued by the U.S. Department of Health, Education and Welfare listing all major grants policies. Considered an absolute necessity if dealing extensively with the Department of Health, Education and Welfare. Irregularly updated by transmittal notice.

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GRANTS ADMINISTRATION REPORT: Office of the Assistant Secretary-Comptroller, Division of Grants Administration Policy, 330 Independence Avenue, S.W., Washington, D.C. 20201. Free. A newsletter aimed at management policies of the Department of HEW.

GRANTS AND AID TO INDIVIDUALS IN THE ARTS (1970): Washington International Arts Letter, 115 5th Street, S.E., Washington, D.C. 20003. $8.95.

GRANTSMAN JOURNAL, THE: 47 North Park Street, Mora, Minn. 55051. $24./year.

GRANTSMANSHIP NEWS: University Resources, Inc., 160 Central Park South, New York, N.Y. 10019. $60./year.

GREENSHEET: National Association of State Universities and Land Grant Colleges, #1 Dupont Circle, N.W., Washington, D.C. Full of information. Distributed free only to members.

GUIDE TO FEDERAL ASSISTANCE FOR EDUCATION, THE: (updated monthly) Appleton-Century-Crofts, Division of Meredity Corporation, Professional and Reference Department, 440 Park Avenue, South, New York, N.Y. 10016. $225. (Initial order, $375). A set of files updated monthly giving information on federal programs and legislation affecting higher education. A section listing upcoming program deadlines is particularly useful.

GUIDE TO PROGRAMS: National Science Foundation (NSF 71-22) Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402. $75.

HANDBOOK OF AID TO HIGHER EDUCATION BY CORPORATIONS, MAJOR FOUNDATIONS, AND THE FEDERAL GOVERNMENT: Council for Financial Aid to Education, Department G, 6E. 45th Street, New York, N.Y. 10017. $25./includes a regular six-month supplement.

HEW NEWSLETTER. Office of Field Coordination, U.S. Department of Health, Education and Welfare, 330 Independence Avenue, S.W., Washington, D.C. 20201. Free. A weekly news service for field employees of the Department of Health, Education and Welfare. The newsletter is a particularly good source of information on personnel changes, reorganizations, usual grant awards and recent major publications of the agency.

HIGHER EDUCATION AND NATIONAL AFFAIRS: American Council on Education, #1 Dupont Circle, Washington, D.C. 20036. $25./year. Useful generalized newsletter and chronical of higher education: two basic documents. A weekly newsletter containing good insight into new program trends within the federal government; also excellent reports on legislation, both proposed and enacted.

HIGHER EDUCATION REPORTS: Office of Education, Department of Health, Education and Welfare, Washington, D.C. 20202. Free. For the information of participants in the Bureau of Higher Education's programs.

HOW TO PREPARE A RESEARCH PROPOSAL: SUGGESTIONS FOR THOSE SEEKING FUNDS

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FOR BEHAVIORAL SCIENCE RESEARCH: By David R. Krathwohl. Syracuse University Bookstore, 303 University Place, Syracuse, N.Y. 13210. 1966. $1. Mostly for people in education.

HSMHA GRANTS-IN-AID: Office of Grants and Contracts Management, Health Services and Mental Health Administration, 5600 Fishers Lane, Rockville, Md. 20852.

HUD NEWSLETTER: Superintendent of Documents, Government Printing Office, Washington, D.C. 20402. $2.50/year. Reports on significant and newsworthy events and developments in housing, urban affairs, mortgage market, credit and related matters of particular interest to builders, planners, social welfare groups and state and city officials.

HUMAN ADAPTABILITY NEWSLETTER: U.S. International Biological Program, 513 Social Science Building, University Park, Penn. 16802. Free. Keeps one current on IBP, Global Atmospheric Programs, etc.

HUMANITIES: National Endowment for the Humanities, Washington, D.C., 20506. Free.

INNOVATION: St. Louis Research Council. 224 North Broadway, St. Louis, Mo. 68102. Free. Regional and local utilization of R&D in certain areas. Interesting. For local action groups.

INNOVATION NEWSLETTER: Part of membership in the Innovation Group/Technology Communication, Inc., 265 Madison Avenue, New York, N.Y. $75./year. Interesting group of people ranging all over trying to solve problems in new ways. Entrepreneurship; covers the waterfront.

IT'S FUN TO BE FUNDED: A GUIDE TO THE PREPARATION OF PERSUASIVE PROPOSALS: By Darwin L. Mayfield, Director of Research, Long Beach, Ca. 90801. 1971.

JUVENILE DELINQUENCY REPORTER: Office of Juvenile Delinquency and Youth Development, Social and Rehabilitation Service, Department of Health, Education and Welfare, Washington, D.C. 20201. Free. A monthly newsletter highlighting various aspects of delinquency prevention, treatment, control and rehabilitation plus related funding sources.

KNOWLEDGE INDUSTRY REPORT: By the Knowledge Industry Publication, Inc., Tiffany Towers, White Plains, N.Y. 10602. $75./year.

LEAA NEWSLETTER: Law Enforcement Assistance Administration, U.S. Department of Justice, Washington, D.C. 20530. Free. A newsletter about the Department of Justice's Law Enforcement Assistance Administration.

MANPOWER COMMENTS: 2101 Constitution Avenue, N.W., Washington, D.C. 20418. $7./year. Very interesting. Monthly.

MANPOWER RESEARCH PROJECTS: U.S. Department of Labor, Manpower Administration, Washington, D.C. 20210. Free.

MLA GUIDE TO FEDERAL PROGRAMS: Modern Language Association, 62 Fifth Avenue, New York, N.Y. 10011. 1969. $2.50.

MOSAIC: NSF--Superintendent of Documents, Government Printing Office, Washington, D.C. 20402. $2.50/year. Useful insight into higher policy. Published quarterly by the National Science Foundation, this journal serves as a medium of communication to and among individuals and groups directly affected by the Foundation as well as interested parties, including other federal officials involved in scientific affairs, science writers, and others who share a concern for the progress of science.

NASA FACTBOOK: Academic Media, 32 Lincoln Avenue, Orange, New Jersey 07050. $36.80. May not be too useful.

NATIONAL SCIENCE FOUNDATION GUIDE TO PROGRAMS: National Science Foundation, Washington, D.C. 20550. $.75.

NEWSLETTER: Council for Advancement of Small Colleges, #1 Dupont Circle, Washington, D.C. 20036. Free to members. Nonmembers, by subscription.

NEWSLETTER: National Council of Independent Colleges and Universities, #1 Dupont Circle, Washington, D.C. 20036.

NEWS REPORT: National Academy of Sciences, National Research Council and the National Academy of Engineering, 2101 Constitution Avenue, N.W., Washington, D.C. 20418. Free.

NEW YORK TIMES: New York, N.Y. It has data banks on various topics.

NIH FACT BOOK: By Helen Schroeder. Office of Public Affairs. Proposals submitted and those funded.

NIH POLICY GUIDE: U.S. Department of Health, Education and Welfare, Public Health Service, National Institutes of Health, Bethesda, Md. 20014.

NSF FACTBOOK: Academic Media, 32 Lincoln Avenue, Orange, N.J. 07050. $36.25. Not very useful.

OCEANOLOGY: 1156 15th Street, N.W., Washington, D.C. 20005. $95./year.

OFP REPORTS: Office of Federal Programs, American Association of State Colleges and Universities, #1 Dupont Circle, Washington, D.C. 20036. Free to members. Excellent. Jammed with good information, including due dates of programs.

OPPORTUNITY: Office of Economic Opportunity, 1200 19th Street, N.W., Washington, D.C. 20506. Free.

PHILANTHROPIC FOUNDATIONS IN LATIN AMERICA: By Ann Stromberg. Basic Books, Inc., 404 Park Avenue South, New York, N.Y. 10016. 1968. $7.50.

PRIVATE FOUNDATIONS ACTIVE IN THE ARTS: Vol. One. Washington International Arts Letter, 115 5th Street, S.E., Washington, D.C. 20003. 1970. $17.50. Seems comparable to CCH.

PRIVATE FOUNDATIONS REPORTER: Commerce Clearinghouse, Inc., 4025 Peterson Avenue, Chicago, Ill. 60646.

REGIONAL SPOTLIGHT: 130 Sixth Street, N.W., Atlanta, Ga. 30313. Free. Useful to see about competition.

REPORT ON EDUCATION RESEARCH: Suite G-12, 2430 Pennsylvania Avenue, N.W., Washington, D.C. 20037. $40./year.

REPORTS ON HIGHER EDUCATION: WICHE, Western Interstate Commission for Higher Education, P.O. Drawer P, Boulder, Colorado 80302. Free. A little of everything. Not about grants administration or foundation. Educational philosophy. A lot of research. A monthly newsletter with good insight into changes in higher education and related federal legislations.

RESEARCH GRANTS INDEX: Department of Health, Education and Welfare, Educational Resources Information Center (ERIC), $11./year. Helpful.

ROCKY MOUNTAIN SCIENCE COUNCIL NEWSLETTER: Rocky Mountain Science Council, Utah State University, Logan, Utah 84321. Free. A quarterly about the activities of the member institutions of the Rocky Mountain Science Council.

SCIENCE: American Association for the Advancement of Science, 1717 Massachusetts Avenue, N.W., Washington, D.C. $8./year. Its features on scientific trends and science and politics are useful for ascertaining potential directions of funding.

SCIENCE & GOVERNMENT REPORT: Science and Government Report, Inc., P.O. Box 21123, Washington, D.C. 20009. $25./year. Biweekly, 4 pages. Relatively new. Mr. Greenberg, the publisher and editor, used to be with Science.

SCIENTIFIC INFORMATION NOTES: Trends Publishing, Inc., National Press Building, Washington, D.C. 20004. $20./year. Grants in areas needing research.

SELECTED U.S. GOVERNMENT PUBLICATIONS: Superintendent of Documents, Government Printing Office, Washington, D.C. 20402. Free. (biweekly). Lots of publications can be picked up this way in special interest areas. A news sheet issued bi-weekly listing the newest publications available from federal agencies, with brief descriptions of content and the price. Order forms are attached.

SPACE LETTER: P.O. Box 3751, Washington, D.C. 20007.

SOURCES OF INFORMATION ON FUNDS FOR EDUCATION: AN ANNOTATED BIBLIOGRAPHY: Office of Federal Relations (no longer exists, Fed. Notes in Washington now). Extension Hall Annex, University Campus, Corvallis, Oregon 97331. Outdated. $5. Put out a lot of material.

SOURCES OF INFORMATION ON FUNDS IN THE HUMAN RESOURCES FIELD: Office of Federal Relations, Extension Hall Annex, Oregon State University Campus, Corvallis, Oregon 97331. Now in Washington, D.C. - Fed. Notes.

SRS NEWSLETTER: Department of Health, Education and Welfare, Social and Rehabilitation Service, Public Information Office, 330 Independence Avenue, S.W., Washington, D.C. 20201. Free. A newsletter written for the staff of the Social and Rehabilitation Service of HEW.

TAFT INFORMATION SYSTEM: Taft Products, Inc., 1000 Vermont Ave., N.W., Washington, D.C. 20005. $250. A small school gave it up, but S.C. has just ordered it. A big vol. history grants and foundations. Comes out with an updating newsletter. New education. Put in same category as Appleton-Century-Crofts.

TIMES OF THE AMERICAS: Woodward Building, Washington, D.C. 20005. $8./year. (weekly) A newspaper published weekly in English taken from wire services reports from Latin America.

UNITED STATES GOVERNMENT ORGANIZATION MANUAL: Superintendent of Documents, Government Printing Office, Washington, D.C. $3.50 Administrative breakdown - useful.

U.S. OFFICE OF EDUCATION SUPPORT FOR THE ARTS AND THE HUMANITIES: Department of HEW Publication No. (OE) 72-19, Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 1972. $.35.

WASHINGTON AND THE ARTS; A GUIDE AND DIRECTORY TO FEDERAL PROGRAMS AND DOLLARS FOR THE ARTS: Associated Councils of the Arts, 1564 Broadway, New York, N.Y. 10036. 1971. $6.50.

WASHINGTON INTERNATIONAL ARTS LETTER: Allied Business Consultants, 115 5th Street, Washington, D.C. 20003. $27./year. A monthly newsletter about the arts. It has good information on private foundations, especially new ones entering the field of funding the arts and humanities, and the activities of the National Foundation of the Arts and Humanities.

WASHINGTON SCIENCE TRENDS: Trends Publishing Company, National Press Building, Washington, D.C. 20004. $50./year. All kinds of information. Consistently a wide range of disciplines.

WHERE AMERICA'S LARGE FOUNDATIONS MAKE THEIR GRANTS: Edited by Joseph Dermer. (1971) Public Service Muterials Center, 104 East 40th Street, New York, N.Y. 10016. $19.50.

PUBLICATIONS AVAILABLE FROM THE DIVISION OFFICE
(309-Education Building--337-4052)

Periodicals:

1. COMMERCE BUSINESS DAILY (Daily)
2. FEDERAL REGISTER (Daily)
3. REPORT ON EDUCATION RESEARCH (Bi-weekly)

Books:

1. Dermer, Joseph, editor. HOW TO GET YOUR FAIR SHARE OF FOUNDATION GRANTS. New York: Public Service Materials Center, 1973. (2 copies).
2. Dermer, Joseph. HOW TO RAISE FUNDS FROM FOUNDATIONS. New York: Public Service Materials Center, 1972. (2 copies).

The Files

The Division Office maintains a separate file on each of the agencies listed below. A given file usually contains entries such as descriptive brochures/pamphlets, assorted dittoed materials, request for proposals, written correspondence, etc. (Please request file contents).

Governmental Agencies:

Adult Education (U.S.O.E.)
Basic Educational Opportunity Program (U.S.O.E.)
Bilingual Education (U.S.O.E.)
Bureau of Higher Education (U.S.O.E.)
Child Service Demonstration Program (U.S.O.E.)
Community Service and Continuing Education Programs (U.S.O.E.)
Desegregation of Public Education-Desegregation Institute (U.S.O.E.)
Education of Migrant Children (U.S.O.E.)
Education Professions Development (U.S.O.E.)
Educational Opportunity Program (U.S.O.E.)
Educational Talent Search (U.S.O.E.)
Environmental Education Programs (U.S.O.E.)
Field Initiated Studies Program (N.I.E.)
Field of Aging: Training and Curriculum Development (U.S.O.E.)
Financial Assistance for Demonstration Projects for Reducing School Dropouts (U.S.O.E.)
Indian Elementary and Secondary School Assistance Act (U.S.O.E.)
Institute for International Studies (U.S.O.E.)
National Endowment for the Humanities
National Institutes for Health
National Institutes for Mental Health
National Science Foundation
Office of Technology Assessment
Project Information Packages for Effective Approaches in Compensatory Education (U.S.O.E.)
Research in Education-Small Grants (N.I.E.)
Research in Modern Foreign Language and Area Studies (U.S.O.E.)
Research in Special Areas of Education (N.I.E.)
Special Education Programs in University-Affiliated Facilities (U.S.O.E.)
Special Services for Disadvantaged Students in Institutions of Higher Education (U.S.O.E.)
Studies and Demonstrations in Comprehensive Health Planning (P.H.S.)
Supplemental Educational Opportunity Grants (U.S.O.E.)
Support for Improvement of Postsecondary Education (H.E.W.)
Teacher Corps (U.S.O.E.)
Undergraduate Preparation of Educational Personnel (U.S.O.E.)
Upward Bound (U.S.O.E.)

Foundations:

American College Testing Program
American Council of Learned Societies
DuPont Educational Aid Program
EXXON Foundation
Ford Foundation
J.M. McDonald Foundation
National Wildlife Federation
Reynolds Babcock Foundation
Robert F. Kennedy Memorial
Russell Sage Foundation

HOW DO I WRITE ONE

(PROPOSAL DEVELOPMENT)

GRANTSMANSHIP

(An Exercise in Lucid Presentation)

by:
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Assistant Dean, Research Programs
Indiana University School of Medicine
September, 1962

courtesy of:
Project Development Office
Indiana University Foundation, 305-Student Building
Bloomington, Indiana 47401

The young man entering the world of scientific research today faces more than ever the formidable task of communicating accurately with his colleagues. He must be able to transmit his scientific findings, in vivo, at conferences. He must also be able to express himself, in vitro, in print for those who will read the results. Success in various aspects of both these types of communication will be easy or difficult in proportion to an individual's personality and training. But there is one phase of communication in which today's scientific neophyte must excel or fall by the wayside. This is the art of setting ideas to paper so that their presentation to reviewing bodies will win scientific approval with subsequent financial support. The development of this type of scientific writing has been attributed to the application of Parkinson's law in medicine. Be that as it may. The finished product should represent a practical exercise in lucid presentation.

It was my experience while serving at the National Institutes of Health that the major aim of both public and private granting agencies, scientific reviewers, and administrators alike, is to distribute funds wisely to qualified people with promising projects. The ultimate goal of these agencies is the furtherance of knowledge and its application to the betterment of people everywhere. It sometimes seems as though the applicant for support is trying to make this as hard a task for the reviewers as possible. How can he make it easier?

Regardless of the agency approached, certain fundamental information will be required. What is to be accomplished is, naturally, of primary importance. Therefore, a brief summary of aims in pursuing the work proposed makes the best introduction. Where possible, it should be provocative because this is the first item that meets the eye of the reviewer and determines to a large extent the degree of interest with which he will read this particular application.

The description of methods must be explicit. At this point, the applicant must steer carefully between the Scylla of talking down to highly sophisticated and knowledgeable reviewers and the Charybidas of saying too little to demonstrate his own knowledge. The picture should be sufficiently detailed so that a person with the application in hand could go to his laboratory and carry out the experiment that will initiate the work. There is no need to describe other people's methods in detail, but they should be cited as for publication. Alternatives should be presented where one portion of procedure might fail and another succeed. This is one portion of the application where nothing should be left to the imagination. The most successful requests are those which contain a well-defined problem with a well-defined approach. No one demonstrates competence by trying to tackle everything at once. Familiarity with the many aspects and implications of the problem can be shown in the discussion of the significance of the proposed research.

It is well to describe the facilities that are available as accurately as possible. Be certain to include all of the equipment that is needed to carry out the methods or procedure outlined. If a piece of necessary equipment is not available, the sum for its purchase should be included in the budget. Do not duplicate and try not to omit.

If the advice of a special consultant is anticipated during the course of the work, it is common courtesy to permit him to read the application to see what role he has been assigned. This also serves to eliminate embarrassment should a reviewer inquire about the proposed consultant's interest in the program. It can be awkward if the man has never heard of it.

Any application should have in it some description of previous work related to the project. If any pilot studies have been performed to show that the work is feasible, they should be described. If any publications have resulted from previous work that has influenced the proposed approach, these should either be abstracted or enclosed with the application. Certainly they should be referred to. Not all, but most applications will request a brief review of the work done by others in the same field. The proper choice of references will demonstrate familiarity with the discipline to be studied and also bolster the rationale for performing the work. Let it be emphasized that this is not time to take careful aim and fire at the heads of people with whom you disagree. Dissent where necessary--but tactfully. One of these gentlemen may be sitting on the reviewing board that is evaluating your application.

A curriculum vitae is always requested of the principal investigator. This should be up to date and not only answer any specific questions asked, but also offer generous detail concerning special employment, training, memberships in societies, fields of interest, and any work that has warranted an honor or an award. If a portion of the training was pursued under a well-established man, it is well to mention the mentor's name. This section is a major means by which people unacquainted with an applicant can evaluate his background to do the work proposed.

The budget page should be the easiest page to fill out. Ask for what you need, what you honestly need, to do the job at hand. Use common sense. If a salary is being requested for a technician who has highly specialized training, it should be slightly higher than for an untrained technician. If a more expensive piece of equipment is desired than another that can do almost the same work, justify the need for the more costly item. If animal costs and maintenance are higher at your university than they are in another part of the country, it is well to state that this is a university established cost. Don't be absurd about travel. No one is going to spend $2,000 to send an inexperienced man to a European country for three days to learn a complicated technique vital to the successful pursuit of his experiment. An average of two meetings a year for the principal investigators is considered reasonable. Always keep in mind that an idea can sound good at $10,000 but not worth the gamble at $20,000.

Give some thought as to the amount of time it will logically take to complete this work. It is reasonable for a person establishing himself in a new situation where he plans to stay with as much permanence as the academic world has today to ask for a five-year period of support. It is understood that while he may not be continuing precisely the same work, he will at least be active in teaching and in the research laboratory. Continuation years by and large should be for an adjusted amount of money. The budget should take into account that with normal growth more personnel may be needed. Personnel that have been employed over a period of time will probably merit a certain raise in salary. Here a good rule of thumb is to increase personnel costs by five per cent per year. If a good deal of money is requested for permanent equipment in the first year, it is only logical to assume that an equal outlay will not be necessary in future years and the permanent equipment figure should therefore decrease. If the need for a certain item of equipment can be foreseen at some future date, it can be budgeted in the third or fourth year, but it should be justified.

Bear in mind when applying for continued support of a project that has not been reviewed for two or more years that a group considering the current request will undoubtedly comprise a different membership from that which reviewed the previous application. Therefore, any protocol which is competing for uncommitted funds should be written in as complete detail as if it were the first application. The major difference is that the continuation application will have an accompanying progress report. Frequently, the decision as to whether or not support should be renewed is based more on the progress described than on the future plans set forth in the application.

One other thing must be borne in mind by every investigator. Grants are not made directly to the man who is applying but to the institution by which he is employed. An administration has a moral obligation to ask that the investigator limit his request to what he can efficiently use. It cannot permit him to ask for or pay salaries in excess of the scale at his particular institution. It cannot permit him to outline a program for which there is no space. It cannot close its eyes to juggling of funds in a fashion which is not in keeping with the spirit of the original application. Granting agencies must of necessity be able to exercise faith in the educational and research institutions of this country. It would be virtually impossible to police every grant or contract other than by

routine audit. When a responsible institution official signs an application, he accepts the obligation of keeping faith with those who supply the funds that make an award possible.

Summary:

1. Despite occasional cries to the contrary, funds are available for the support of deserving persons and projects and reviewers are primarily interested in arriving at a just recommendation.

2. Applicants can better their own chances as well as assist in expediting the review process by following several simple tenets:

   a. Start with a clear provocative picture of the problem.
   b. State the approaches to be used with conciseness consistent with clarity.
   c. Budget for money and time honestly and reasonably.
   d. Use common sense as the major guideline.

3. The administrative officers of educational research institutions are very much aware of the moral obligation involved in accepting grants made from public and volunteer monies.

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GRANTSMANSHIP

by:
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When you talk about funding and new programs, watch where you leap because once you make the move, there is no backing off. That means research before making a proposal and research before approaching the source.

Before looking at nuts and bolts strategy, let's analyze sources. The two major sources are the foundations and the federal agencies. And there's a lot of research available of them. There are between 15 and 20 thousand foundations, and they're still increasing. They distribute approximately

300,000 grants, totaling about $300 to $500 million, each year. The average grant runs between $1,000 and $2,000. These figures may be deceptive because Ford Foundation usually funds $500,000 and above while many of the small family foundations fund $5,000 and below. In general, about 6 percent of their reported assets are funded out each year.

There are many different kinds of foundations - family, community (one of the newest kinds), corporate (e.g., Ford, Carnegie), and many others. Each has its own history and its own objectives.

Helping all these is an organization called Foundation Center. It is funded by several foundations to help people understand the rationale for the different kinds of foundations. In addition, the Foundation Center helps foundation staffs become professional.

Federal Sources - The federal government grants $7½ billion annually for adult education. Congress authorizes funds to about 375 agencies, which disperse the money for a variety of purposes. These agencies are scattered through the departments of Health, Education, and Welfare; Defense; Labor; Interior; Justice; and others. Imagine the competition outside these agencies trying to get at and understand these funds.

One way of getting at the facts about grants is to look at the annual budget requests made by the White House to Congress. Then check this against the actual appropriations for a pretty clear picture of what's going into the maze of agencies. Although $7½ billion are appropriated to agencies for adult education, not all is put out in grants. The agency does not have to grant all the money. If some is still left at the end of the year, it is turned back to the treasury. Thus at the end of each year many agencies have great pressure to put out money in grants so that there are still funds at adequate level the following year.

Many agencies have never had a single request for funding because people don't know who they are or what they are doing. For another thing each agency and each appropriation changes every single year as it runs through Congress. Even a subtle shift in pressure (e.g., black nationalist movement) gets reflected in Congress. The tiniest shift in a year on any issue may shift the whole eligibility purpose and amount of funding for any given agency: Congress is highly sensitive to its constituency. Consequently there is less stable refunding than in the foundations, which have their own traditions and far less accountability. Thus what needs to be done in the federal agencies is to dig out their directives and their purpose, their working rules of thumb, their traditions, their climate, their attitude, etc. These are some of the intangibles in funding. There are some exceptions, such as the title money which is fairly stable.

There is a wide variety of programs in the federal government in adult education. The Education Professions Development Act (EPDA) places between $50 and $150 million a year directly into colleges. This enables colleges to offer free accredited summer courses to teachers in all the professions. However, only about 100 colleges profit from the program in a given summer. Nobody is breaking his back to make sure that all colleges know about it even though all colleges are eligible nor is anyone breaking his neck to tell the teachers that 100 colleges around the country offer these free courses.

Few people know, for example, that in the area of Indian education (out of several agencies) many millions are earmarked to pay teachers to buy materials, to train community workers, and to help workers and professionals among the Indians. The Bureau of Indian Affairs has never been famous for

explaining to people the kind of money it has available to support the work, mandated by law but not always funded.

Veterans' education comes under a number of granting agencies, and the benefits are not well known. Consequently there is quite an effort to acquaint professional educators with the benefits available to veterans. Many of our institutions can provide education for veterans and the government will pay it. However, we have to know that and build our programs accordingly.

Drug abuse education and desegregation activities are being heavily funded in a variety of ways. And there are hundreds and hundreds more. We have to do our homework to take advantage of them.

Much of the adult education sponsored by church groups, religious groups, or synagogues is eligible for foundation, federal, and state funding. But people don't know about it.

As a general rule people don't try to find you to give you money; they wait for you to find them. If you don't bang down their door, the money doesn't flow.

We've heard a lot of talk on rejected proposals. Sometimes foundations and federal agencies turn people down because they get tired of them or because they make the wrong approach or because they act in an unprofessional manner. They say quit stuffing our mailboxes with all those stupid unprofessional proposals that show very little. The attitude that "the money is there, let's grab it" really bugs people who want to fund seriously. They cannot deal with us unless we are on a professional basis.

As far as strategy is concerned, remember you need to look over the funding patterns and research the sources before approaching them. You also need to research your own program and objectives. You have to have something you want to do before you go after the money.

Research, however, also tends to be deceiving. We research something and then we think we have an accurate viewpoint. Let someone else who has gotten the grant or is experienced in the field look at it and critique it. This may change our viewpoint. And it's better to have criticism from our own consultants than from the source of funding. If we submit a bush league proposal or one that misses the point with the source-we're dead.

With federal agencies, the problem is not that the agencies do not have funds but rather getting the funds out. We do not have people pulling these funds out of the agencies. This is where we really have to work hard. And this applies to the state level, too.

The most important thing in this whole field of grantsmanship is the ability to listen carefully. For example, there is a myth, that persists in religious and private groups, that funding is available only for public systems and for colleges. Public systems and colleges suffer as a result of this myth, too, because they lost the support of the religious and private section in this whole arena.

We have been researching foundations and federal agencies, especially as to the extent and possibilities of Catholic and other religious involvement in adult education. Out of this study we will find 20 or 30 adult education propositions and projects to present. The climate today among foundations is good to find worthy projects; there is a growing acceptance of education with a special concern toward private and religious sectors. Grantors see us as institutions that still reach through the fabric of society. We need to clearly demonstrate and delineate which church-sponsored and church-related adult endeavors are eligible for funding and by whom and how.

One of our goals, too, is to lead the religious sector into AEA, NAPSE, ABA, and thereby into the "galaxy coalition." There is a danger now that the religious part of adult education will spill out in its own way and weaken the whole movement. This is back of our strong position to develop a commission in AEA for our church people. It's my belief that the non-church people have more to tell us as church people than anyone else. If we splinter apart, we lose a great deal of our leverage, our bargaining power, and even more so our data research and growth possibilities.

Let's now turn to funding strategy. If I were preparing a rough draft proposal today, I would state the problem, show a possible solution, show the significance of the solution, indicate the approximate cost, make a proposition, and make sure it is directed to someone specifically. This rough draft proposal (or abstract) should be three pages. If you can't state it in three pages, you don't have a problem. Then attach the detail, the real proposition, the budget, the directives, etc., as an addendum when needed.

Most sources of funding initially want to know briefly and clearly what you are proposing to do and why. Letters of inquiry are helpful. Most people will tell you what they would like to fund. They will tell you particularly by letter. And rejections give more information than acceptance because behind the rejection there is always a reason. Those doing the rejecting don't mind sharing the reasons.

Lead time for a normal proposition of any kind is at least nine months. Sometimes it is two or three years. We have some in the works now that will take us five years to get. We know it and the source knows it. The only exception to this lead time is where you run into a situation where there is a little money in the top drawer - what they call pocket change. Some foundations give their directors discretion of a few thousand dollars. They may hand you a small grant while you are sitting at the desk making your first approach.

It's a good idea to play many sources simultaneously. They don't mind you doing that.

Remember, too, that funding never comes for anything that you can already do without funding from an outside source. Funding comes only for what you need to do, for what is significant, and for what you cannot do yourself or in some other way other than outside funding. Funding usually does not cover operating cost. In other words the funding today begins to look very much like what we used to refer to as "research and development."

There is a great deal of experimental thinking involved in funding. If we really knew all the answers and knew how to lick the problem, we probably wouldn't need the funding. So don't hide the fact that we're not sure sometimes, rather say we have a good lead and we want to try it. In adult education and in this whole funding game we really are in an experimental stage.

TIPS ON PROPOSAL WRITING

by:
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1. Proposals should include an abstract.

   Webster's New Collegiate Dictionary (1961) defines abstract in several ways. The meaning we prefer for proposals is: "That which comprises or concentrates in itself the essential qualities of a larger thing or of several things." Even if the announcement does not require an abstract, it is a very useful way of giving the reviewer a quick frame of reference so that he will know the relationship of the various parts of the proposal during his first reading.

2. A statement of the general situation should be so labeled, or entitled "Background." References to the literature should be cited in a customary bibliographic form.

3. Generally, the proposal should describe the fundamental problem and the procedures aimed at correcting it. Neither should be omitted. The list of project objectives should be as explicit as possible, and should include only those advances the project is designed to achieve.

4. The project director should so structure the project that its results will achieve the correction of those deficiencies which spurred him into undertaking the effort of writing the proposal. Recognizing that the proposal will be reviewed by people who are nationally expert but usually unfamiliar with the local situation, he should attempt to isolate the problem(s), devise the corrective measure(s) and predict the anticipated outcomes as explicitly as circumstances permit.

5. If procedures are to be revised, the present and future procedures should be compared, and the proposal should show why the new plan is expected to correct the weaknesses of the old.

6. If a part of the proposal has been designed on a base of practices adopted or adapted from experience, the bibliography should list all the pertinent literature citations.

7. It is axiomatic that vague wording, poor spelling or fuzzy printing (reproduction) will weaken the impact of all your ideas, even very good ones.

8. The proposal should be clearly organized, in the sequence suggested in the announcement, and long proposals (over 10 pages) should have a table of contents or an index.

9. Project evaluation should be planned before the project is begun. The absence of defined objectives or basic (baseline) data will hamper, if not prevent, meaningful assessment of results.

10. The budget should cover the costs of all of the project's activities, including those for which external support is not requested, with local support identified. All budget items should relate clearly to an item in the narrative of the proposal.

11. The budgeted personnel positions should bear two references: the duties of the position and the qualifications of the incumbent or the person being sought to fill the position. (Qualifications may include personality factors as well as formal training and experience.)

12. Program practices vary, but here is one guide to budgeting:

    a) Determine the institution's future expenditures for the project activities as if no grant were to be made.

    b) Calculate the costs of changing to the new pattern, including "research and development."

    c) The institution should continue its support of the activity at the level of a), while the proposal should ask the Foundation for a portion of b).

    d) For some programs: The institution should contribute to b), and should plan to continue the new program after its success has been demonstrated.

13. Read and follow instructions about stapling, number of copies, packaging and mailing dates.

14. If there is reason to suspect that your proposal has been lost, check with the Program staff. Most announcements list telephone numbers and addresses. If your proposal has not been acknowledged within 3 weeks, inquire. Learn the name of the Program staff member. Give the Foundation plenty of lead time, but feel free to inquire about progress if necessary.

STRATEGIES FOR DEVELOPING AND WRITING A SUCCESSFUL PROPOSAL

by:
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Louie Armstrong's classic reply to the little old lady who asked, "What is Jazz?" - "Lady, if you have to ask you will never know." Today we could paraphrase this. If you have to ask about Grantsmanship - you may never know. But that wouldn't be true - competition - expertise - can be learned.

What is a successful written project proposal?

1. A document that is the culmination of preliminary planning. You must have this.
2. A description of a proposed linkage between a problem area and resources that can contribute to a solution.

3. A major factor in securing needed additional resources (grant).
4. The product of a creative process.
5. A plan that can be implemented.

What is the general project planning process from which a proposal emerges?

1. Obtain an initial idea that suggests that a project is desirable.
2. Collect evidence of a gap between what is and what ought to be, such as a community problem, a personal need, or a researchable question.
3. Decide that closing the gap has a sufficiently high priority in the agency to warrant proceeding with preliminary planning.
4. Engage in preliminary planning. This should involve (1) persons close to the problem such as potential participants, successful clients, leaders of related groups, and (2) persons who can contribute to the solution, such as resource persons, planners, administrators. In early planning, arrange for the representation of viewpoints not directly included in the planning committee.

This involvement also serves to assess and encourage greater receptivity of potential participants in the proposed project.

What are the crucial questions that should be answered by the sections of most proposals?

1. What specifically do you propose to accomplish?
2. Why is this an important objective?
3. How do you propose to do it?
4. Who will do it?
5. What evidence is there that it will probably be successful?
6. What is the proposed time schedule?
7. What evidence is there that the project is feasible?
8. How will you find out how successful you have been?
9. What resources of the sponsor are needed and already available?
10. What additional resources need to be provided as a result of the grant from the grantor?

Before Writing the Proposal

Visit state and federal funding agencies and talk with their staffs. Do this to obtain general information about the program and to test their interest in a specific idea. Agency personnel will be acquainted with proposals that have been supported or rejected in the past. They'll also be familiar with the recreations of the groups of reviewers who ultimately have a major voice in what is and what is not approved. Chances are you'll get your best advice from those agencies where personnel are disassociated from the evaluation of proposals. Staff members in such agencies can pass on the tips that their inside status provides without feeling compromised.

Don't make the mistake, however, of reading any great significance into a favorable response by the agency staff. After all, their main business is to give away money, and they will encourage everyone to submit requests that appear at all reasonable. If these requests don't turn out well, there's still time to reject them after they are formally submitted.

Private foundations don't work quite that way. With private agencies, early encouragement frequently implies favorable action later on. That's not so with governmental agencies, which often encourage the development of an idea simply because they don't have a basis for any judgment of it. Such

encouragement can be disheartening if a group of reviewers outside the agency makes the final decision. Personnel of most governmental agencies don't have authority to commit the agency to a project without an extensive review by others, some of whom are usually outside the agency.

Before visiting an agency at the state or national level, explore your ideas as thoroughly as you can. If you can put it in writing ahead of time, so much the better. The help the agency staff can give you probably is directly proportional to the thought you have invested in your plan. As Parkinson might put it in one of his laws: "The vaguer the idea, the vaguer the reaction to it."

Make sure you know what you want to do. Don't expect the agency to identify your problem areas for you. The attitude of most federal agencies is: "If we are furnishing the money, you ought to be able to furnish the ideas."

What is the concept of strategy, as it applies to the development of a successful proposal?

1. There is a goal (a proposal that can be funded and implemented successfully).
2. To achieve this goal, attention must be given to several general components.
3. In each specific instance, there is a unique set of given starting points and conditions that influence what additional information is needed and what decisions need to be made.
4. A specific strategy consists of a series of steps, some occurring concurrently, that progress from the initial circumstances to proposal preparation.
5. The components that need to be understood and the steps that need to be taken should be made explicit, because typically several people are involved.

There are three major components from which a strategy is fashioned.

1. What do you want to do?

First, explore sources of new, different, and urgent ideas about important problems. This will involve (a) contact with potential clients, (b) research and community data about historical trends and current conditions, (c) advice of interested resource persons, (d) wisdom from cultural heritage, and (e) insights of change agents.

Second, locate resources to contribute to the solution of the problem. This will include resource persons - from sponsor, other agencies, and from the community (related groups and potential participants) and other resources - facilities, equipment, materials.

Next, decide on priority objectives. This will depend on the urgency of problem (number of people involved and extent of gap) and the sponsor resources (central purposes, existing resources, commitment to proposed direction, in relation to other agencies).

2. How do you plan to do so? There are several ideas to remember here.

First, select a general approach regarding the process by which linkage will be established between problem and resources. This will include a substantive contribution of subject matter content and procedural decisions regarding the sequence of transactions and the timetable.

Second, establish a process to make judgments about project effectiveness, based on evidence, so that the conclusions can be used for project improvement.

Third, recognize that similar decisions are made when objectives are selected, the project activities are organized, and budgetary allocations are made.

3. What else do you need to do?

Inventory relevant sources that can be assigned to the project.

Identify relevant sources for funding to acquire the additional needed resources (Standard Library listings, government publications, Foundation Directory, and Library).

Select a promising approach to grantors who are likely to be interested in funding your project (select relevant grantors, inquire about their priorities and procedures, present the request attractively).

Reviewers

Acquaint yourself with the reviewers who will be evaluating your proposal. Most funding agencies will indicate who reviewers are for various types of proposals. Knowledge of the experience and training of the reviewers may give you some insight into what they might consider a sound proposal. Of course, getting acquainted does not mean writing or calling them to discuss your proposal on an informal basis. Such a tactic is generally frowned on both by the agency and the reviewer. If you do happen to know a reviewer and wish to have him work with you in the development of a proposal, there is no harm done, for he will eliminate himself (or the agency will eliminate him) from the evaluation of such a proposal.

Instructions and Criteria

Study the instructions for submitting proposals and the criteria used in evaluating proposals. This will give you a better understanding of what is required on your part. It may also point out some of the things you may have overlooked in planning for a study. Finally, it may help you avoid unnecessary delays in the processing of your proposal caused by failure to submit all of the required information.

Pay careful attention to any deadlines that are listed. To avoid the charge of favoritism, most agencies adhere quite rigidly to their deadlines. In considering the amount of time necessary to develop a proposal, allow sufficient leeway for obtaining official approval and clearing the proposal through channels. This is a particularly crucial consideration when preparing proposals that involve colleges or universities and matching funds and budgets have to be carefully worked out with the institution's business office.

Consultants

Use consultants, particularly on aspects of a problem for which your own personnel have little competence.

While many individuals employ consultants at what they feel important points in the conduct of a study, few appear to take advantage of such expertise before the proposal is written. This is actually the best time to do so. If you wait until after the project is underway, many decisions will have been made that place restrictions on the kinds of recommendations the

consultants can offer. By involving them before the proposal is submitted, they may offer solutions to difficulties that you hadn't even recognized.

There is one other way in which consultants can help beforehand, although it is by no means free of controversy. They can actually be of service in the planning and development of the proposal if it is done properly. We do not mean to suggest that a consultant be employed in a ghost-writer capacity - to plan and prepare the proposal and then step out of the picture. This would be unfortunate because if his services were necessary to that extent in the development of the proposal, they would also be essential during the conduct of the study. However, a consultant may justifiably be used in preparing a proposal if he is to remain a member of the research team.

Preparation

If planning is carefully done, there will be an easy transition to the actual preparation of the proposal itself. In fact, these two stages, rather than being consecutive, are more likely to be going at approximately the same time. Thus as an idea takes form in one's mind, it is written down and passed along for someone else's reaction. He in turn offers suggestions which provoke more thought, and the cycle starts all over again.

Format

Follow the format requested by the agency. You have nothing to lose and something to gain by it. A receiver may even overlook an important point because he expects to find it in one section of the proposal when the writer has placed it in another. Reviewers become accustomed to seeing certain items of information under certain headings.

Some researchers have been known to assert that their ideas are unique and cannot be poured into a standard mold without destroying their originality. If that is true in your case, by all means use your own format, but be sure the exception merits the risk.

If you do not follow the format, there is a very real danger that you may omit an important piece of information. This may mean that the evaluation will be delayed or in the case of a substantive omission the proposal may be downgraded on the evaluation.

Problem

Establish[1] the existence of a problem - that is, an anomaly, a series of contradictory "facts," a set of unverified findings, or a gap in existing knowledge - and describe it precisely and thoroughly. Relate the problem to its appropriate antecedents in both research and practice. Indicate, for

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[1] This paragraph is based on an unpublished paper which outlines the functions of various sections of a research proposal. David Clark, Egon Guba and Gerald Smith, "Functions and Definitions of Functions of a Research Proposal or Research Report." A paper prepared in 1962.

example, what effect the problem has had on educational practice or how it grows out of practice. Pay particular attention to past research in the same problem area. In research, you have an obligation to add to existing knowledge about this problem and not simply to "solve" a practitioner's problem.

Qualify the problem by pointing to the special conditions which tend to modify, restrict, or limit its study and indicate why you have chosen to approach it in a particular way. Finally, justify the utility, significance or interest in the problem. Be careful, however, not to overdo this justification.

Where Proposals Go Wrong

The following list of inadequacies was compiled in a recent study of 100 proposals submitted to the Cooperative Research Program.[2] The figure after each is the percentage of the applicable proposals containing the inadequacy.

	Inadequacy	Percentage
1.	Problem insignificant	66
2.	Theoretical framework inadequate or lacking	87
3.	Problem not delimited	25
4.	Problem unclear or incomplete	26
5.	Key definitions lacking	32

Review Related Research

The study showed that the reviewer of related research is one of the most neglected sections in proposals. A thorough analysis and a careful write-up of related research will be worth any effort you put into them. What is learned probably will improve the quality of other sections of the proposal as well.

Don't simply list a set of references. This does not constitute a review even if you have included all of the appropriate references. Offer evidence that the study has not been done before. But don't stop there; contrary to popular opinion, this is not the only purpose of a review. In fact it isn't even the most important purpose, particularly in an age when literature is proliferating so much that it is frequently judged cheaper to do a study over again than to locate a study already done. Evaluate as well as summarize the strengths and weaknesses of the related research. Such an evaluation indicates what you are learning from a review. Describe the relationship between past research and your proposed effort. This may mean pointing out a basic flaw in the past research. It may mean describing a theoretical framework which has emerged from past findings. Or it may mean that you simply indicate how your research will extend knowledge in this problem area.

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[2] Smith, Gerald R., "Inadequacies in a Selected Sample of Unpublished Research Proposals," unpublished doctoral dissertation. Teachers College, Columbia University, 1964, p. 71.

Objectives and Hypotheses

A writer's description of objectives, hypotheses, or questions provides some indication of his ability to focus his attention on specific aspects of a problem. The sharper the focus, the more likely the investigation is to succeed.

A carefully worded problem statement does not preclude the necessity for a section on objectives or hypotheses. Objectives should be tested clearly and specifically. Popular terms should be avoided whenever possible because they often carry more than one meaning and the emotional overtones associated with them further interfere with understanding. You may think that everyone understands what is meant by "democratic administration," but it is a lot safer to use a different word and define it more carefully. While no one particularly enjoys wading through a good deal of technical jargon, it does serve the useful purpose of being free of emotional loadings.

Procedures

Make certain your procedures are spelled out in as much detail as possible. A lack of detail is a serious fault in most proposals. One frequently encounters phrases like "appropriate statistical procedures will be employed." Tell the reviewer what they are and let him judge whether they are appropriate. It is not always possible to know every detail in advance, and it may be necessary to give two or three examples of what might be done. Keep them specific.

If possible, try to organize your procedures in such a way as to make clear which procedures are designed to achieve each objective. Sometimes there appears to be little relationship between the objectives stated in one section of a proposal and the procedures for achieving them in another. A conscious attempt to relate the two makes for easier reading for the reviewer and sometimes points up difficulties in trying to achieve certain objectives for the writer.

Communication

If you want to be a success at the game of grantsmanship, you have to play according to the rules, whether they suit you or not. Some would-be researchers are stylists at heart - more concerned with the clever phrase, the play on words, the exaggerated claim, than with the carefully worded proposal. While such ploys are perfectly legitimate in the literary world, they are an anathema in the world of research. Research represents science more than it does art - or so those who play the game would like to believe- and precision, objectivity, and neutral words will get you a lot further than the colorful quip.

Inadequate planning is rarely concealed by naive expressions, vague phrases, exaggerated statements, overdrawn and unnecessary justifications, easy generalizations, obtuse references, and overworked jargon. If your ideas are not clear to you, there is nothing in the world you can do to make them clear to others.

Once the proposal is submitted, all you can do is wait. Don't write to your congressman or the commissioner or some other official you feel may be influential in getting a favorable response to your proposal. Members of Congress do not make a habit of intruding in the decisions of an executive agency or government. Most reviewers are not government employees and are not influenced by such letters. Moreover on occasion they have been known to actually resent them.

Letters of this kind also place an additional burden on the staff of the agency since the staff often provides the material for a congressman's response, which invariably is a standard, innocuous reply to the effect that "your proposal will be given every consideration." Such inquiries often compel a staff member to prepare materials for the Secretary of the Department of Health, Education and Welfare, the commissioner of education, two congressmen and then respond to a personal letter from the same individual. The feeling of staff members on such occasions is hardly one of eternal gratitude. Testimonial letters from former colleagues, professors and employers usually fall into the same category. Finally, never write to a reviewer for special consideration unless you really don't have any intention of doing the research anyway.

Feedback

If your proposal is not recommended for support, ask why it was turned down. Most agencies are more than happy to provide such information because they feel that it improves the quality of proposals over a period of time.

Don't expect the agency staff to reveal which reviewers said which things about the proposal. They are quite willing to be as specific as they can be in commenting on the weaknesses - sometimes even quoting a reviewer - but they are reluctant to divulge which reviewer made a particular point.

Resubmissions

Most agencies permit resubmissions. Some even encourage them with proposals having a basically sound idea, but a design that may require some revision. If the agency has a resubmission category, the task of counseling an initiator is much easier on everyone concerned. The agency staff can simply indicate that the proposal was or was not placed in a resubmission category. By the same token, the initiator is spared the agony of trying to interpret the oblique remarks of an agency man trying to say tactfully that the proposal is lousy.

In an informal analysis of proposals submitted to the Cooperative Research Program during fiscal years 1958, 1959, and 1960, resubmissions had the same rate of acceptance as proposals submitted for the first time. This suggests that the reviewers were not prejudiced against them.

Summary

Who does what to produce a successful proposal?

Typically, the potential project director works with the major proposed

resource persons and other members of a planning committee to accomplish the preliminary planning that results in the proposal.

The proposal is developed through successive stages.

1. Make preliminary notes, in which the "givens" in the situation can be described in detail, and the sections that are least complete can be the focus for early planning.
2. Prepare a preliminary draft of most sections, perhaps with different people contributing to various sections.
3. Prepare the first full draft well in advance of any submission deadline.
4. Revise the final substantive draft so that it is highly desirable and feasible, in relation to the sponsoring organization that would conduct the project.
5. Revise the final draft for submission to a grantor so that it is an attractive presentation in terms of the grantor's priorities and procedures.

BRING UP AND INTENSIFY MEANING BY THE USE OF METAPHORS IN PROPOSAL WRITING

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The most encompassing function of the human mind is metaphor and imagery. A metaphor communicates much inwardness. It is alive - particularly when freshly born. Filled with the residues of many experiences, many ideas, and even contradictory thrusts. It is especially fun when you think, not alone speak, in more than one language in metaphors, such as our Chicano sisters and brothers.

"The life of the mind is like"----

When traveling-the deep waters of a great churning ocean...

U.S.A.-a trip on a turnpike at night with its occasional plazas of light, food, fuel.

Mexico City-Buses arriving and departing on many streets at the same time, with thousands of travelers hurrying in hundreds of directions, and with many voices calling-each demanding attention."

Both as a mental health and grants professional, I find a metaphor has unique power to express the mixed tensions of life - as we experience it - so that we see actuality previously unsymbolized in this total way and no longer ignore the contradictions.

"Trying to be authentic today is like a man in the desert constantly blinking his eyes to dispel the mirages."

"Standing up for justice is like a goldfish affirming its identity in a barracuda colony."

"Finding your way out of a whirlpool."

"Living confusion. Everything requires a decision."

"Walking through a supermarket with plenty of money, but no shopping list."

"A tiny boat caught up in great seas of controversy, bewilderment, rebellion."

"Being one of the horses on a merry-go-round trying to get up the gumption to jump out of the herd."

"A barnyard of roosters, each trying to bring in the dawn."

I have found the first step in considering some common experience of life is not to have some "expert" to talk about, but to ask them "to metaphor." This enables people to take an active attitude toward what is being considered. This way they furnish the content and the agenda. They discover themselves. For they have called up meanings from within themselves for themselves. I have found this a great technique in teaching, ranging from grant to creative writing. You, as a leader, have to think up the incomplete sentences that call for completed comparison.

Existence-situations that metaphor for groups of women ranging from unwed mothers to FADC mothers would be:

The future is like----

Rebelling against authority is like----

Loneliness is like----

Backing down when I know I'm right is like----

Being a woman in today's world is like----

Being understood by someone else is like----

Being helpless; knowing that nothing you can do will make any difference is like----

Living in today's world is like----

Using the metaphor technique is one of the best methods to gain the faceless one's participation in the construction of a Federal Grant or private foundation request. It is one of the fastest techniques known to help the participants gain rapid insight in their own mythology or belief structure.

We can comprehend anything only if we compare it to something we already know. Our mind is constantly doing this - using metaphors to comprehend the yet-to-be understood. "This is like that other thing." The voltage of each of the compared experiences is raised. Thus, also, the mind organizes itself into a unity.

This constant production is certainly basic in all growth of meaning. Then why not encourage, train, grow this functioning? Particularly in regard to events and powerful objects that show up in your world. "What is this like? To what would you compare it?" The "you" is important. Don't just babble hearsay - what you have heard others say. Reach down in your own stock of vivid experiences and images and bring the most fitting one up. This is a basic or key in constructing your grant or foundation proposal in terms that are to be, and need to be, easily understood by the grantor, the grantee and the consumers who are the end recipients of the services offered by the funds provided by the grantor. The construction of your nomenclature or glossary of terms that every grant application proves to have are most easily facilitated by the use of the metaphor technique. It is one of your skills in resource development. Try the process with your board members and consumers of letting out their metaphors and their feelings. When you are constructing a grant proposal, it is profitable for your consumers to get out before them the attitudes they each have towards objects and events and experiences that they all have experienced. It is important that each individual discover something of what is deep within him. This discovery needs to

come from below the level of logical intellect and surface talk.

For such a purpose, the manufacture of metaphors is productive. Try using this technique the next time you work with a grant application.

SAMPLES FOR MODIFICATION AND INCLUSION

This section contains samples that might be modified and used as designated sections of proposals by DTE faculty members. The emphasis in these samples focuses basically on program development and implementation or the need for inservice education. The "sample" proposal sections are those perceived to be most generalizable.

Introduction (Sample)

During the past two years the newly created Division of Teacher Education (DTE) has been designing, implementing, testing, and refining strategies for improving the undergraduate preparation of teachers resulting in fifteen alternatives to the conventional teacher education pattern. During the 1972-73 academic year the DTE has assembled service-oriented faculty teams for purposes of program planning and design, evaluation, field implementation, change processes, and program dissemination.

The proposed project is a natural extension of the past cooperative efforts of the DTE and Federal Funders to help school districts design and refine a model for the implementation of an innovative _____ school _____ program featuring selected elements from two nationally recognized _____ curricula and locally developed protocol materials on general teaching/learning strategies. The strength of this effort to extend the involvement in one of the DTE's most energetic subsets, the _____ Department, with _____ school _____ teachers is shown in eleven ways:

1. The proposed project is built on the _____ Department's past work.

2. The proposed project is based on a team approach.

3. The proposed project will utilize the _____ classrooms, equipment, and materials of public _____ schools throughout its entire duration.

4. The proposed project will provide an alternative implementation strategy for the utilization and dissemination of nationally recognized curricula.

5. The proposed project will provide exportable products to aid others in the replication of selected aspects of the strategy.

6. The proposed project will involve extensively _____ faculty from the College of Arts and Sciences.

7. The proposed project will effect a major modification of the structural and programmatic elements of the professional training sequence in the Department of _____ Education.

8. The proposed project will be the basis for inservice sessions for DTE faculty and _____ school teachers not directly involved with the implementation effort (non- _____ teachers).

9. The proposed project will provide information for the planning, designing, and testing of new school-based roles (adjunct and affiliate professors) for the undergraduate preparation of _____ teachers.

10. The proposed project will directly or indirectly involve community agents and other non-educational agencies in the education of preservice and inservice teachers.

11. The proposed project will eventually involve schools and districts of our least served populations.

The Department of _____ proposes to initiate the development of a model with the _____ Community School Corporation (Appendix A - "Appraisal of _____"). This school district has interacted extensively with the _____ Education Department in the placement of pre-student teaching cadets for purposes of observation and participation and semester-long student teaching assignments. The _____ Community School Corporation (_____) has also accepted many DTE students in most of the newly developed alternative teacher preparation projects. Based on an extensive history of collaboration, the _____ has been approached and has agreed to project participation, should this proposal be reviewed with favor (Appendix B - "Intent of _____ Proposed Involvement").

During the summer of 1974 and the 1974-75 academic year, an effort will be made by the _____ Education Department and _____ Community School Corporation to develop a strategy that would more equitably distribute the responsibilities for the undergraduate preparation of _____ school _____ teachers. The proposed objectives and planned instruction are as follows:

* Create opportunities for inservice teachers to study the rationale, patterns, and procedures used in individualized instruction. (Five hours of instruction will be provided during the first week that will lead each participant toward developing a contract for his summer of individualized or independent study of _____ that he or she will implement.)

* Create opportunities for inservice teachers to study and learn _____ and study nationally recognized _____ curricula in an environment consistent with the philosophy of individualized instruction as illustrated by _____. (Sixty-six class hours and many evening-weekend hours will be devoted to this objective. Both _____ and _____ educators will work with each individual to help him reach the goal specified in his contract.)

* Involve teachers in developing skills for systematic observation and the recording and evaluation of teacher/learner behavior. (Teachers will use locally developed protocol materials on general teaching/learning strategies and _____ teacher preparation materials that will prepare them as reliable observers and recorders of data on questioning reinforcement, performance objectives, and teaching models. Twenty-five class hours will be spent developing and practicing data collecting and recording skills.)

* Involve inservice teachers with the utilization of indirect counseling techniques for supervising preservice teachers. (The teachers will spend one-half of the twenty-five instructional periods preparing for roles as supervisors and then spend the other one-half participating as supervisors. Preservice teachers enrolled in the undergraduate methods course will serve as subjects in this portion of the training.)

* Develop the interpersonal relationships necessary for continuous long-term cooperation in preparing preservice teachers as implementers of nationally recognized _____ curricula. (Ten class hours and three evening social activities are planned. The development of a local association of inservice _____ teachers that meets frequently will be encouraged.)

* Create opportunities for inservice teachers to discuss _____ with _____ who are actively involved in research in some of the dramatic new efforts of _____. (Four _____ will be with the project during the entire summer and access to several others for short lecture sessions will be planned. Local _____ will be encouraged to describe and discuss research problems they have encountered as well as other recent research.)

Problem Diagnosis (Sample)

During recent months a notion concerning the involvement of secondary school teachers in the design and development of viable implementation models has enjoyed wide use in oral discussions among faculties and administrations in colleges and universities. However, owing in part to the newness of the concept and to trial and error development of this type of public school involvement, very little is known presently about the concept of how the schools should function in the design and development of programs to prepare _____ school _____ teachers.

State of the Art (Sample):

The most recent 1970's have provided evidence as to the increasing need for a more intense involvement of inservice teachers in the program design, development, and training of preservice teachers. It appears reasonable to presume that areas such as program design and development, teacher training, teaching methods, learning environments and teaching

materials will continue to be the dimensions of investigations as a result of increasing demands for change and innovation from society in general, as well as from professional educators in the public schools and colleges or universities.

Review of educational practice illustrated only a narrow range of inservice teacher involvement. When examining the recent history, many political and uncoordinated attempts have been made. These usually consisted of the conventional student teacher-inservice teacher encounter, attempts at coordinating a pre-student teaching field-based assignment with an array of usually uncontrolled and unsystematic interactions, and the voiceless teacher on a dean's advisory committee. The history of these involvement encounters, as it appeared, was dismal. They have been marked by disappointment, disillusionment, and frustration both on the part of the teachers and the faculties of colleges and universities. Repeatedly, under quite diverse conditions, innovative involvement patterns were introduced only to fail a short time later.

Those attempts at collaboration which were deemed successful succeeded for reasons which often had little to do with their worth in terms of program development, modifications in training environments, creation of reality-oriented settings, and desired behaviors of in-service teachers and higher education faculties. Notions concerning involvement usually began in colleges of education, in federally funded service-oriented projects, or in state education departments, and then made their way passively to the _____ schools. Perceptions and observations left the distinct impression that the inservice teachers were, at best, an unsatisfied recipient of more work or another meeting, and, at worst, a highly conservative and unmotivated group of educators not interested and resistant to change.

A Rationale (Sample):

It cannot be assumed that widespread dissemination of an improved component or curriculum in _____ education is any guarantee of widespread effective utilization. Acceptance and appropriate use by students, preservice teachers, inservice teachers, and department chairpersons is still to be won within the _____ school. Curriculum change is an elusive goal; it requires persistent, cooperative efforts by educators to develop effective implementation models which stimulate wide adoption. The interest and active support of leaders from public schools and universities must be marshalled if major programmatic change is to become an institutionalized reality.

Many educators agree that no single person or agency can manage effectively all the components of a major change in American secondary schools. Courses of study such as the _____ and locally developed materials on general teaching/learning strategies embody bold new ideas; they represent a significant breakthrough in curriculum development efforts. The impact of these imaginative programs, however, will be determined by the quality and scope of similarly imaginative models for moving these programmatic elements from inventors to _____

school students. Recently developed curricula in _____ and _____ have not effectively reached their target audiences because dissemination and implementation models needed to translate theory into action did not exist. It is fairly safe to assume that perhaps as many as 50% of the teachers using the new _____ curricula are not teaching the programs in a manner consistent with the goals outlined by the developers.

Difficulty in accomplishing improvements in _____ education is also evident in the gap between well-planned curriculum changes and their acceptance in the classroom. For example, both _____ and _____ revitalized the traditional approach to _____ teaching. To date, however, many _____ schools have shown reactions ranging from apathy to resistance. By most current standards, _____ and _____ were well disseminated; but the adverse reactions show that dissemination alone does not insure subsequent implementation and ongoing utilization of an innovation.

Even the installation of a promising innovation does not, in itself, guarantee its intended instructional experiences for students, its acceptance by teachers as a permanent operational aspect of the secondary school. Language laboratory consoles sit gathering dust in many American high schools. Dual progress plans and junior high core programs are shadows of their originals. Jars containing _____ chemicals have never been opened; five gallon cans housing _____ dissection specimens may be preserved forever. Unfulfilled innovations of yesterday can be found in almost any _____ school.

The failure of new curricular elements to realize their full potential is often rooted in the shortcomings of their content, hardware, software, or basic psychological or philosophical undergirdings. But more often, these failures are the fruit of traditional, unsophisticated, weakly-supported, and untested implementation efforts. Too seldom are there comprehensive plans for identifying committed change agents, and for providing them with the preservice and inservice education and with recognition essential to a major curricular change. Seldom do superintendents, principals, department chairpersons and teachers jointly decide to implement a new program and to provide, from the start, the essential supports. If such a team decision is made, rarely does it gain the attention and cooperation of professors in a nearby university and the active assistance of Federal Funders. The linkages or connections between and among specialists generally have not been forged.

The task of implementing and monitoring new curricular elements in existing school systems is, by itself, of significant importance to warrant the same extensive support as the initial development efforts. Without successful implementation strategies, even the best of new _____ education products and methods will be abused, misused, or not used at all in our secondary schools. The tasks of effectively implementing, monitoring, and institutionalizing new curricular elements in our _____ schools are arduous and cannot all be accomplished by the teacher or the department chairperson. Assistance is needed in procuring, assembling and manipulating unfamiliar materials. Someone must be able to explain the content, teaching strategies, and the philosophical/psychological bases of the programmatic components and exhibit model teacher classroom behavior compatible with these foundations.

The development of these skills may have been largely passed over during the inservice teacher's years of formal academic training. The proposed project will help both preservice and inservice teachers develop these competencies in the _____ school classroom and will provide counsel and reassurance during the teacher's process skill and attitude development period. If teacher classroom behavior is to change, opportunities can be made available for the teacher to view and discuss exemplary demonstration teaching by someone skilled and knowledgeable with these curricular elements. Conferences focusing on the "helping relationship" between university staff and teachers might follow microteaching sessions to establish or modify future performance.

Continuing Coordination (Sample)

In keeping with the _____ Education Department's commitment to motivate widespread implementation of _____ school curricular elements, an extensive program of continuing coordination will be maintained from May, 1974, through June, 1975. The need to coordinate and assess the efforts in the _____ school is obvious. The type and amount of inservice education offerings in the _____ classrooms and also the preservice education offerings in the classrooms must be recorded. An assessment of the quality of the implementation is also a must. Continuing coordination is necessary when controlling and manipulating variables in an attempt to develop the best possible replicable working-model for the implementation of these particular _____ teaching components. The teachers, classrooms, and schools will be the targets for collecting data/information needed for the production of exportable products. A history of "Demonstration and Dissemination Days," including a description of the cooperation that led to their existence, must be compiled. Teacher attitude toward the total implementation and dissemination effort must be assessed and reported.

Necessary Staff (Sample):

The proposed project will require the services of a Project Director who will devote a half-time (Summer, 1974) and a one-fourth time (1974-75 academic year) workload to the coordination of the various activities throughout the project's duration. A Project Evaluator (one-half time during the Summer of 1974 and one-fourth time during the 1974-75 academic year) will also be needed to assist in carrying out many of the coordinative and evaluative tasks. Working closely with other _____ Education Department faculty, _____ Departments, and the Division Director and officials of the _____, the Project Director will take all necessary steps--on a tentative basis--to prepare for the project in the event that this proposal receives favorable action. The activities will be as follows:

1. Generate interest among preservice teachers by way of undergraduate classes and among inservice teachers in graduate courses, telephone conversations and written correspondence.

2. Circulate generalized guidelines for an effective implementation of selected aspects of this proposal.

3. Correspond with interested inservice teachers, maintain records and assume responsibility for details.

4. Cooperate in the selection of inservice teachers (this is basically the responsibility of the _____).

As the foundation for the proposed project, the preparation of this proposal and the foregoing steps will be carried out at institutional expense. If funded by the _____, the project would then be carried forward by the Project Director (Appendix C - Vita of Proposed Project Director) as follows:

5. Respond to all written and telephone correspondence on a daily basis.

6. Organize and coordinate the six-week summer program to be held from June 24 - August 2, 1974.

7. Organize and coordinate four follow-up meetings during the 1974-75 academic year (two per semester).

8. Assist with the organization of the two (one per semester) "Demonstration and Dissemination Days."

9. Visit implementing _____ classrooms on a bi-weekly basis.

10. Serve as host and facilitator for an on-site external summative evaluation.

11. Disseminate information to various educational agencies or institutions interested in the _____ school _____ implementation effort and related activities.

12. Write and submit reports to the _____ as requested.

13. Meet with _____ staff to discuss ways to maximize the impact of the intervention strategy on the _____ community of the region.

A Project Evaluator will also be needed to work closely with the Project Director. The Project Evaluator will have a major responsibility for determining the extent to which performance standards for the project are actually being met. The involved tasks will require a strong background in measurement and evaluation along with considerable experience in initiating, conducting, and reporting evaluation or assessment studies. Specifically, the responsibilities of the Project Evaluator (Appendix D - Vita of Proposed Project Evaluator) will be as follows:

1. Conduct formative evaluation and report on the efficacy of the interactions with professionals in the _____.

2. Conduct formative evaluation and report on overall project operations.

3. Construct all written-response instruments and assist with information processing and tabulation.

4. Conduct research and write report on "Demonstration and Dissemination Day" activities to be held in the implementing _____ schools.

5. Assist the Project Director with the development of reports requested by the _____.

Other Required Staff (Sample):

Faculty for the proposed summer program and the four follow-up conferences are to be drawn from experienced, recognized leaders in _____, _____ education and teacher education. The proposed project has been discussed with the following individuals, many of whom have contributed to the _____ Education Department's program development; all have been asked to participate in the proposed project's wide array of activities. All of those listed below are faculty of this University:

Dr. Joseph Dokes
Professor of Landscaping
College of Arts & Sciences

Dr. Kenneth Sistrunk
Asst. Professor of Civics
College of Arts & Sciences

Dr. John B. Good
Professor of Pollution Control
College of Arts & Sciences

Dr. James Mowdy
Assoc. Professor of Kiddy Ed.
School of Education

Dr. Leo C. Brodie
Professor of Education
School of Education

Dr. Rollin Rowlands
Asst. Professor of Refrigeration
College of Arts & Sciences

Dr. George A. Dillion
Assoc. Professor of
Animal Husbandry
College of Arts & Sciences

Dr. Norman Wheelwright
Asst. Professor of Applied
Psychology
School of Education

Proposed Project Milestones (Sample)

Although the scope of this proposed project and its respective execution could be a negotiable contingency, it is believed that the events and target dates listed below are critical elements necessary for a successful project implementation.

Activities	Completion Date	Primary Responsibility
Submit proposal to the _____ _____	October 15, 1973	Project Director Project Evaluator
Identify a pool of interested inservice _____ school _____ teachers	December 20, 1973	Project Director _____
Receive assurance of _____ _____	February 1, 1974	_____
Cooperate in the selection of the 30 inservice teachers for the summer program	March 15, 1974	_____ Project Director
Order all necessary _____ equipment and materials for the entire implementation effort	April 1, 1974	_____
Organize summer program (six weeks): outline instructional sessions, prepare materials, conduct several staff meetings	May 15, 1974	Project Director
Construct and field test instruments for collecting baseline data and assessing attitudes and perceptions toward the summer program	June 1, 1974	Project Evaluator
Conduct the six-week summer program in a public _____ school	August 2, 1974	Project Director
Administer previously developed instrument package and summer program evaluation materials	August 2, 1974	Project Evaluator
Complete and submit to _____ a report on the efficacy of the summer program	September 15, 1974	Project Director Project Evaluator
Conduct two follow-up conferences for the 30 inservice teachers	November 20, 1974	Project Director
Organize and conduct the first "Demonstration and Dissemination Day"	December 1, 1974	_____ Project Director

Conduct an on-site summative evaluation of overall project activities	January 20, 1975	_____ Project Director Project Evaluator
Discuss with ____ officials the potential of future plans and continued funding for model implementation in other settings	March 15, 1975	Project Director Project Evaluator
Conduct the remaining two follow-up conferences for the 30 in-service teachers	April 20, 1975	Project Director
Organize and conduct the second "Demonstration and Dissemination Day"	May 1, 1975	_____ Project Director
Write and submit a report on the efficacy of the "Demonstration and Dissemination Days"	May 15, 1975	Project Evaluator
Submit final report (programmatic, personnel, fiscal and physical) to the _____	June 1, 1975	Project Director Project Evaluator

Project Evaluation (Sample):

When change in public schools and universities features the implementation of new processes and practices, there is the need to first conduct descriptive evaluations designed to assess professional competence, values and attitudes, project strengths and weaknesses, and the goals of all involved groups. In the proposed project this will take on the form of "decision-oriented" or formative evaluation. This type of evaluation will use information collected from all levels for decision-making and desirable project improvement. The Project Director and Project Evaluator will be responsible for explaining the decision-making process to all involved educators. The Project Evaluator will organize and provide needed data for rational decisions in the _____ and the _____ Education Department.

The Project Evaluator will be required to submit a well documented project evaluation design to the Evaluation Team of the DTE. The designs usually take the form of the widely accepted CIPP model or some modification thereof (Appendix E - "Suggested Model for Project Evaluation"). In addition, each unit of instruction (course, workshop session, seminars, etc.) will be evaluated as to process and participant development (Appendix F - "Suggested Model for Evaluation of Instruction"). Also, at no cost to _____, the Evaluation Team of the DTE will assume the responsibility of monitoring and extending its service to all proposed project activities for the duration of the involvement.

The second type of evaluation which the proposed project will entertain is summative in nature. Being close to the project at all times,

the Project Director, Project Evaluator, _____ Education Department faculty, and involved inservice teachers might not be able to "see the forest for the trees." Perceiving the high need for an external system of "checks and balances," it is suggested that a team of three external evaluators from the _____ staff and/or designated consultants make a timely visit or two for purposes of interaction with involved project staff and visitations to the implementing _____ schools.

The possibility for engaging in research cannot be ruled out. _____ Education Department faculty, graduate students, and the science teachers of the _____ have exhibited enthusiasm over the possibility of collaborating in research endeavors. Tentative general areas of pursuance are the intellectual development of students, value and attitudinal development among students, and student achievement. Attempts will also be made to assess teacher competence along selected quantitative and qualitative dimensions. Certain demographic characteristics of preservice teachers, inservice teachers, and the locale of the given _____ school are potentially important variables for investigation. Attitudinal, personality, and organizational climate studies of all involved professional personnel are also possible research avenues. Investigations can lead to the identification of characteristics which influence the implementation of the two selected curricula, identification of characteristics which result from the implementation, and the diagnosis and prescription of possible ways for _____ schools to improve the implementation of these curricular elements.

Implications (Sample)

Difficulty in realizing educational innovations is evident in the gap between their conception in the ivory towers and their practice in _____ schools. The proposed project represents a major collaborative effort to harness the creative and innovative energies of _____ school _____ teachers. It is an initial systematic attempt to move much of the undergraduate and graduate professional preparation of teachers away from the campus to the _____ school classroom. The proposed project has also the potential for the development and certification of field-based roles and responsibilities for program development and training of preservice _____ teachers (e.g., affiliate or adjunct professors).

Other significant goals are the construction of a collaboration model for alternative roles and the development and maintenance of an extensive "checks and balances" mechanism to insure the most appropriate and relevant training for _____ school _____ teachers. The development of a model will also provide a vehicle for exportation of the processes and products resultant from a mutually developed set of needs. The proposed strategy also takes into account the provision of inservice activities among university faculty and non-_____ teachers of the involved _____ schools. The potential for the identification of a conceptual map, which can guide the development of further public schools and university interactions, exists both in this state and other regions of the country.

The faculty of the _____ Education Department and the _____ teachers of its affiliate _____ schools in the region are committed to the development of a cooperative model for the preparation of _____ school teachers. The model would have as its objective the preparation of both preservice and inservice teachers who could implement the nationally supported curricula as conceived by the developers. The teachers are also committed to the development of observational and data collection skills which are necessary for model assessment and refinement.

If some degree of success is attained in the presently proposed project, a future proposal (next year) will be developed for the implementation of these curricular elements and model construction in an extremely large urban area a short distance to the north of campus. Based on much experience as a result of the initial implementation effort, the _____ Education Department will collaborate with the Division of Teacher Education's (DTE's) Center for _____ Education and its array of _____ schools and affiliate community agencies. Jointly, both DTE subsets tentatively will employ the newly developed implementation model with selected modifications among a least served population.

Dissemination Possibilities (Sample):

Aside from the host of involved preservice teachers _____ who will eventually disperse to all areas of the nation, a concerted effort will be made to disseminate selected elements of the proposed project. A systematic attempt to diffuse the processes and products of the project will enhance greatly the chances for replication and/or modification of the model. If funded, this task will be a natural extension of the DTE Dissemination Team's activities. Short articles describing the project will appear in the DTE newsletter, "For Your Information," which has a mailing list of over 500 encompassing both higher education institutions and public schools. Somewhat longer papers will be found eventually in the DTE's Teacher Education Forum and the School of Education's Viewpoints, both possessing widespread distribution. The involved university complex also houses on its campus the statewide headquarters of most professional organizations to which public school personnel are members. Coordinated attempts will be made to utilize their meetings and publications as vehicles for dissemination.

Emerging spontaneously from the proposed project will come dissertations and theses written by graduate students, and journal articles developed by faculty, graduate students, and/or involved teachers. Conference presentations and papers given at national meetings will be a high point of the dissemination effort for interested involved educators (____, _____, AERA, or ASCD).

During both semesters of the 1974-75 academic year the preservice and inservice teachers will conduct a "Demonstration and Dissemination Day" in one of the junior high schools each semester. Teachers, administrators, and professors within a fifty-mile radius will be invited to observe the implementing teachers in classrooms and interact with them in end-of-the-day seminars. Assistance with logistics and the presence of _____ education personnel will be sought from the state education department. Emphasis will be placed on visitor-reaction and dissemination follow-up.

Project Budget (Sample)

Cost Category	Description	Costs
DIRECT OPERATING COSTS		
Salary, Wages, and Fees		
Project Director		
Salary	25% time @ $28,600	$7150.00
Fringe Benefits	___% @ $6,450; ___% @ $700	1324.40
Graduate Assistant		
Salary	100% time @ $1500/sem.	7500.00
Steno-Secretary		
Salary	50% time @ $8440	4220.00
Fringe Benefits	___% @ $4220	514.84
Consultants		
Honoraria	8 @ $100/day	800.00
External On-Site Evaluators		
Honoraria	6 @ $150/day	900.00
Student Work Study		
Hourly Wages	keypunching @ $2/hr.	200.00
		$22,609.24
TRAVEL AND SUBSISTENCE		
Project Director & G.A.		
Travel	10 trips to WAVE-sites @ $72/trip	720.00
Per Diem	20 day @ $___/day	320.00
Consultants		
Travel	8 trips to I.U. @ $125/trip	1000.00
Per Diem	8 days @ $___/day	160.00
External On-Site Evaluators		
Travel	6 trips to I.U. @ $140/trip	840.00
Per Diem	6 days @ $___/day	120.00
		$3160.00
OTHER DIRECT COSTS		
Office Supplies		150.00
Telephone & Postage		340.00
Printing & Duplicating		1025.00
Computer Time		300.00
		$1815.00
PARTICIPANT SUPPORT		
WAVE Coordinators		
Stipends	10 @ $300	3000.00
		$3000.00
INDIRECT COST RECOVERY		
Overhead on All Salaries	___% of $19,070	$11,689.91
	TOTAL COSTS = $42,274.15	

THE FED's and Other Public Sources (Governmental Agencies)

This section contains proposals submitted through the Division of Teacher Education since its inception. These documents may be examined at the Division Office (309 Education Building). They may be reproduced only with written consent of the given author(s).

Proposal Title	Agency	Date
ACCION LATINA-A Project Designed to Improve the Quality of Education and Other Barrio Services for the U.S. Latino	EXXON	7/25/73
Development and Dissemination of a Composing Process Model to Help Secondary and College Students Make Statements About Their Worlds	EXXON	5/23/73
A Field Based Education Program for Women in Industry	FIPSE	4/15/73
A Project to Construct a Consortium of Universities Committed to the Implementation of a National Multi-Cultural Student Teaching Network		4/15/73
A Strategy for the Equilibration of Institutional Perceived Priorities in the Direction of Effective Teaching and Significant Interactions with Public Schools and Other Local Communities	FIPSE	4/15/73
A Strategy for the Involvement of LEA's in the Program Development and Training for the Educational Professions		4/15/73
ACCION LATINA--Project Designed to Improve the Quality of Educational/Community Service for the U.S. Latino	FIPSE	4/15/73
An Urban Education Project to Involve Pre- and Inservice Teachers, Other Professionals, Community Agencies, and Other Colleges and Universities in a Development and Training Program for Urban Schools	FIPSE	4/15/73
BROWN COUNTY COMMUNITY CHILDHOOD EDUCATION CENTERS: A Project to Furnish Post-Secondary Education to Community Women	FIPSE	4/15/73

Community Based Teacher Training Component of the Multicultural Educational Development Program	FIPSE	4/15/73
URBAN EDUCATION-The Paraprofessional: New Roles and Related Training Programs	FIPSE	4/15/73
A Project to Develop, Teach, and Field Test Instructional Modules in the Humanities Designed for and by Teachers of English, Speech, and the Social Sciences	NEH	10/1/73
An Attempt to Increase the Discriminant Validity of Three Subskills of Reading Through Intensive Instruction	NIE	3/15/73
Analysis, Implementation, and Dissemination of an Alternative Educational Model	NIE	3/15/73
Interpersonal and Environmental Influences on Individual Assessment Procedures	NIE	3/15/73
The Interactive Effects of Organizational Processes in Memory and the Comprehension of Written Material	NIE	3/15/73
The School as a Political System	NIE	4/15/73
A PARTNERSHIP IN SCIENCE TEACHER PREPARATION: Developing and Evaluating a Model for a University-Public School Partnership in Science Teacher Preparation	NSF	10/15/70
A Strategy to Develop a School-University Collaborative Model	NSF	10/15/73
Improving Social Science Instruction Through Resource Personnel Training	NSF	10/15/73
Teacher Preparation for Utilization of American Political Behavior Project, Anthropology Curriculum Study Project, High School Geography Project, and Sociological Resources for the Social Studies	NSF	10/15/73
A Strategy for the Enhancement of Local Involvement in the Planning of a Relevant Educational Program	USOE	12/1/72
A Teacher Corps Project for Appalachian Rural Southern Indiana	USOE	11/15/73
Parent Assisted Learning Strategies	USOE	4/15/73
Teacher Corps Program: Concept Paper	USOE	7/20/72

BREAD WITH FEWER STRINGS ATTACHED

(Foundations)

TIDBITS CONCERNING FOUNDATIONS

by:

Author Unknown
Bulletin on Public Relations
and Development for Colleges
and Universities, January, 1970

courtesy of:

Project Development Office
Indiana University Foundation
305-Student Building
Bloomington, Indiana 47401

Ten Myths About Foundations and Their Giving

Many myths have been built up around the procedures of obtaining foundation support. Among the more commonly mistaken ideas are:

1. A standardized presentation or approach to foundations will save time and effort. Obviously, this procedure will fail because foundations come in all shapes and sizes and have many different purposes. General purpose foundations, special purpose foundations, company-sponsored foundations, community foundations, and family foundations--all have markedly differing interests. An approach must be tailor-made to a single foundation.

2. Foundations need an elaborate, expensively produced presentation. Wrong again! Some want only a page or two, brief and concise. Others require budgets, operating statements, lists of trustees, and other specific information. Most foundations pay little attention to the tinsel and wrappings. They want to know what's in the package.

3. Foundation grants depend entirely on whom you know. The facts disprove this statement. Contacts are important, but most foundations are made up of executives and board members who respond to ideas and who evaluate programs. If your idea or program does not merit consideration, don't count on your personal charm to carry the day.

4. Foundations give only to capital programs. This mistaken idea is used sometimes to rationalize going into a campaign. The facts show that foundations give to current operations as well as to capital growth.

5. Foundations are no longer interested in giving to colleges and universities. The record belies this myth. It is a fact that other causes and issues are currently being given high priority--causes such as the inner city, conservation, foreign aid, help for the culturally disadvantaged, anti-pollution--and individual foundations shift their priorities from time to time. But, the giving to higher education on the part of foundations has continued to increase.

6. The best approach to a foundation is through a foundation trustee. Not always true by any means! A number of foundations have good-sized staffs

who work full-time at the job of fulfilling the foundation's aims. In these cases, the direct approach to the foundation staff member is required.

7. Foundations are all alike. It's hard to be more mistaken than this. Their motivation, their purposes, their staffs, their geographical location, their financial situation all combine to make them react in totally different, and sometimes conflicting, ways.

8. Foundation executives want to see only the president. Again, not true! They want to see the person or persons who can speak most knowledgeably about what the project under consideration is and what it will mean to the foundation, to the recipient, and to society. This might be the president. It might be the development director, a college trustee, or other volunteer. Often it is a faculty member or dean.

9. Once you have made contact with a foundation, bide your time and wait your turn. Sometimes this is poor advice. While you do not want to pester or harass anyone, you must be persistent in your contacting and cultivation. Just because you made a call two years ago or even last winter does not mean that your proposal is still active. Keep in contact!

10. Foundations are impersonal; they don't care about reading your reports or how you spend their money. Not the case! Foundations are run by people and people care that you acknowledge their gifts, that you report on how their money is used, and that you let them know how the project is progressing.

Ten Pointers for Obtaining Support from Foundations

And now for some positive pointers in approaching foundations effectively:

1. Work continuously to identify those foundations who are interested in your institution's programs and projects. This takes constant research by members of the development staff. Foundations' interests change frequently. Forms 990-A (now on file at Foundation Centers or available by making a written request through your district internal revenue office) will help provide this information. A volunteer committee on foundations can be most valuable in providing facts.

2. Concentrate on those foundations with a tie or link to your college. This involves additional research on your alumni, parents, parents of alumni, trustees, and other volunteers to find out those foundations with which they are associated. Get to know the programs these foundations have supported in the past and what projects they are now funding.

3. Foundations are interested in ideas, not just needs. Don't just ask for money or equipment. Show the educational concept or program the requested money or equipment will strengthen or serve. Remember that it isn't always necessary to ask for something new, foundations often support a program or project already in progress. And be sure to show how your idea is related to the total purposes, structure, and capabilities of your college.

4. Timing is important. Foundations have board meetings and deadlines for proposals. They may be annual, semi-annual, or more often. Miss them and you may wait for another 12 months.

5. State your case in a clear, concise, written proposal. The written proposal must be just long enough to present the problem, the solution your project or program envisions, exactly how your program will operate, how the requested funds will be used, who will direct the program and his qualifications, and the reasons why your institution should be chosen for the site of this program or project. A budget and tentative calendar should be included in or attached to the proposal.

6. Make your approach through a local contact, if at all possible. If there is a branch of the company located near your college or if there is an official of the foundation in your vicinity, begin with this local contact. Use volunteers to help advise you on making contact. Trustees, faculty members and community leaders who know your institution are often in a position to make the introduction to foundation officials and to impart information helpful to these officials.

7. Invite foundation officials to visit your campus. Often this visit is vital to the final decision concerning the grant. Plan this visit most carefully. Be sure to include those faculty members especially who are involved with the project under consideration.

8. Don't forget the follow-through. After the initial presentation, be sure to furnish all information requested by the foundation official. A report on progress is important. Many foundations invite you to stop by from time to time. If they say "keep in touch," be sure you keep in touch!

9. Follow the foundation's wishes about publicizing and acknowledging the gift. These wishes may vary considerably from foundation to foundation. Some welcome recognition. Others shun it. Be sure you separate foundations from corporations with the same name but which are not necessarily officially connected. The foundation's giving may have absolutely nothing to do with the corporation's giving.

10. Be sure to report on how the grant was used. Believe it or not, some colleges take the grant and that's the last the foundation hears--until the college asks for another grant. Establish the system of reporting to the foundation at least annually on how its grants are being used.

FOUNDATIONS, THEIR PRESSURES AND IMPLICATIONS FOR THE PROPOSAL WRITER

by:

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St. Cloud, Minnesota

reprinted from:

THE GRANTSMAN QUARTERLY JOURNAL, Fall, 1972, pp. 31-34. Lakes and Pines Community Action Council, Inc., 47 North Park, Mora, Minnesota 55051

A number of factors during the last few years, such as the urban crisis, the metropolitan area's rapidly shifting populations, increased government involvement in social programs, inflation and increasing demands for voluntary services in the face of limited resources has prompted foundations to reexamine their roles and functions. They have developed priorities review committees charged with: catagorizing programs and services to be franchised, catagorizing related foundation programs and services to meet today's needs, establishing in many instances with other foundations and groups such as the United Way priority systems for community-wide acceptance and support of the programs for which they are providing funds, and developing mechanisms and time tables to review the programs they are financing to see how they are implementing the mutually agreed to priorities.

Priority subcommittees of foundations are becoming a way of life. Knowing who they are and how they think is a must for the successful written foundation request.

These are not staff oriented committees. You as an agency executive or department manager are used to operating within the perimeters set by your board. The typical foundation executive has much more direct board involvement on the operation level and often is not a decision maker. You are faced with approval by the concensus syndrome, which often means that approval can be secured for your project by simply knowing the mythologies and belief structures of your project review committee.

The setting of priorities for a foundation involves the relative rating of service in view of the current distribution of the limited annual supply of a particular foundation monies. This is precisely the situation which always has and always will confront the foundation and has led them to undertake a priority study of needs and services to be used as a guide to the current and on-going allocation of resources. There are several reasons both general and specific which have led foundations in this direction.

1. Spiraling project and service costs-The voluntary health, welfare, and mental health service system, generally known as the chairman services system, has always functioned with limited resources and unlimited demands for services. The experiences of foundations, united ways and other sources of private funds generally have shown that proposed budget increases by grantees greatly exceeded the amount of money available in any given year for continuing funding. This relationship of needs to the availability of dollars becomes even more critical during an inflating economy.

2. Rapid social change, revolution, planned social tension and riots raised many questions in the minds of many board members of foundations throughout the United States regarding the adequacy of programs that they supported and the need to evaluate where to place their monies.

The George Wallaces and McGoverns are only one of the symptomatic signs in this direction. As equally indicative is the newly arisen public rigidity of voting "no" on school issues, cutting gifts to the United Way, and pledging less to the churches of their choice. Another sign of the times is the growth of faith orientated churches and the decline of left of center traditional social gospel churches such as the United Methodist, whose leaders are predicting a loss of 600,000 members.

3. Foundation of City-County urban coalitions: New Milwaukee, New Detroit, New Flint, etc.-The development of urban coalitions led to the funding of many kinds of programs and the development of Joint Foundation United Way Urban Progress Funds which in 1969, 1970 and 1971 raised in

Detroit, for example, an extra $8,000 for support of New Detroit. Where were the O.E.O.-C.A.P. Agencies with this war going on? Asleep at the switch is the answer. Many of these new programs will be seeking funding directly from the United Way, United Community Services, or United Foundation or whatever it is called in your area.

4. Rational System-Because priorities were obviously applied informally in the past by foundations and other budgeting bodies, it was not possible to base them on an overall assessment of all foundations, private industries or supported services (United Way). A more rational method for setting priorities seems desirable for effective long range budgeting of foundation or U.F. dollars.

5. Influence of Government-Since the initiation of the Anti-Poverty Programs in 1964 and of many other publicly funded programs-Model cities, comprehensive health planning, Community Mental Health, etc.-Foundations and United Way Agencies are involving new relationships and funding patterns with government agencies. In certain services, such as in mental health, increased government support has lessened the need for private foundation support. Foundations, and others, have had to refine or clarify their roles; support of child guidance clinics, for example, is generally lessening if not stopped altogether.

6. Population-The changing demographic characteristics of the major metropolitan areas of our country, particularly the shift in populations to the suburbs, have been a major factor influencing the demands for voluntary services. For example, while populations in six major U.S. cities decreased 10.6 per cent from 1960 to 1970, the surrounding suburban areas increased from 15.3 per cent in one instance, 52.6 per cent in another and 30.4 per cent in another.

7. Function budgeting-The institution of Functional budgeting and uniform standards of accounting among voluntary agencies on a national, state, and local scale now make it possible to prepare budgets on the basis of services and programs rather than agencies. Such a system is seen as a prime requisite by foundations, state and local governments and communities which have successfully implemented service priorities.

Foundations have always been oriented towards specific objectives; however, many of them only exist for a specific purpose. In general the over 23,000 U.S. Foundations consist of three kinds.

The first and oldest was established to put some of the early 20th century fortunes to philanthropic use. Several of them, Weyerhouse, Kellogg, Mellon, Carnegie, Rockefeiler, and Dodge, predate the tax advantage era.

The second type of foundation arose as a result of the tax advantage. Wealthy individuals or families set up a foundation, often without specific objectives, and controlled the funds in it rather than paying their funds in taxes. Scores of members of these families draw good salaries as administrators of their family fortunes-a situation that could not have come about if taxes on these fortunes has been paid. Some abuse of the concept of foundations has occurred and senators such as Senator Sam Irvin, North Carolina Dem., Senator Hart of Michigan and Dem. Congressman Wright Putnam of Texas have put the spotlight on some of the more suspiciously motivated foundations.

The third type of foundation evolved as a sort of jobber to spend the money of the second type of foundation and of contributors who, for various reasons, wished to donate funds. This type includes the foundations supported

by voluntary contributors and the associations and societies dedicated to specific purposes. Typified by this trend are the many health and mental health foundations.

All three kinds of foundations I have discussed are potential sources of funds, but it is best to secure a reading from them as to whether or not your work interests them rather than to assume that it does and undertake the responsibility of preparing an application which may be outside of their interests.

During the last four sessions of Congress, Foundations have been under sharp questioning and actual attack. Flexibility is still part and parcel of their operation in spite of being a congressional target. One of the biggest objections was the way foundations earned money in competition with private tax-paying industries and yet paid no taxes. Republican Senator Jacob Javits has been making this point repeatedly. The remedy enacted will cut down on foundation funds available, and unless changed by Congress, will remain upon the perpetuity of the foundation.

In conclusion we would like to point out that the views expressed in this article are those of the authors and not necessarily those of the Grantsman. We call them as we see them. Remember, reality, not wishful thinking, must guide the professional in our field.

The resources we develop provide the blood, bone and marrow for the organizations we serve.

HOW FOUNDATIONS EVALUATE REQUESTS

by:

Yorke Allen, Jr.
Associate, Rockefeller Brothers Fund
Paper presented at the Conference on Voluntary Giving for American Christian Institutions, February 13, 1964.

courtesy of:

Project Development Office
Indiana University Foundation
305-Student Building
Bloomington, Indiana 47401

For those who have asked foundations for grants, it may be of interest to gain some idea of the questions which arise in the mind of a foundation executive as he gazes at the pile of requests stacked on his desk in front of him. Here, as briefly as possible, are seven steps which may be taken in a foundation before an affirmative decision is reached concerning a proposal.

Step I-Judging Significance:

The first step in the evaluation process is to analyze the proposal and ascertain its essential significance. Foundation executives are obliged to review many and varied appeals in the course of a day. Hence, fund raisers are right in suggesting that the initial written request or covering letter should be short-one or two pages-describing the proposition accurately and completely. It is also helpful when the organization making an appeal attaches to its request a balance sheet, income statement, and budgetary estimates setting forth its own financial position.

If a college president sends a letter asking, let us say, for a grant of $500,000 with which to build a dormitory, there is not much difficulty analyzing such an appeal. But the evaluation of proposals involving specialized research or brand new projects in the field of human values is not so easy. If these projects have never previously been attempted, all of the important aspects and consequences of their operations must be accurately conceptualized. Occasionally, it is not even a simple matter to evaluate the work of a well established and highly regarded agency. In the case of one agency in the field of social relations, I talked with three of its officials over a period of six months but was unable to obtain from them what was for me a sufficiently clear impression of the factors which made that organization "tick." Recently the agency's director stopped by our office for the first time, and as a result of his account of his day-to-day activities it finally became clear to me why this organization is so successful in its work.

The foundation executive must distinguish on the one hand between projects which are plausible and articulately described but lack substance, and those proposals on the other hand which seem to have some real or potential merit but also suffer important defects. In this sorting out process, it is curious how an agency's financial statements will disclose not only its fiscal position but also its administrative efficiency: a complex financial statement frequently reflects an obsolete organizational structure, or overlapping and ineffective operating procedures; whereas a simple, straight-forward format often indicates efficient management.

As a means of judging the degree to which a requesting organization is committed to its proposal, a foundation executive will check to see if the request has been sent by the head of that organization or by one of its subordinate officials. In the latter case, the subordinate may be the only person interested in the appeal. But even when the request is signed by the president, executive director, or general secretary, the signature may merely indicate their concurrence with the request rather than wholehearted support for it.

Step 2-Does It Fit?

Then the foundation executive must decide whether the project will fit into his foundation's program or budget. Many worthwhile proposals must be declined either because (1) the foundation is not concerned with those particular fields of endeavor, or (2) it has no funds available at the moment to underwrite the cost of a particular project, or (3) it cannot contribute additional funds to the requesting agency, or for that type of activity, without upsetting the program balance between the foundation's various fields of interest.

Step 3-Any Duplication?

The third step is to ascertain whether the project proposes to duplicate an operation or service already being performed by an existing agency. Many foundation executives are generalists; they know a bit about what is going on in a wide variety of fields. At the same time they ought to be specialists in at least one field so that they can point to or define with some precision its so called "growing edges." Foundation executives also find it useful

to have a network of consultants on whom they may call formally or informally for advice on a confidential basis. In addition, they can and often do save a great deal of time by comparing notes with their opposite numbers in other foundations active in the same field. Despite the difficulty which most outsiders have in following and trying to understand the pattern of activities of a given foundation, it rarely (if ever) happens that a grant made by one fund unnecessarily overlaps or duplicates a grant made by another fund.

Step 4-Possible Results:

Now comes the task of considering what would be likely to result if the proposed project actually came to be implemented. A foundation executive may take a negative or positive approach when analyzing this phase of the problem. He may ask himself, "If this new venture is not undertaken, what harm would be done?" Or he may ask the officials of a requesting agency, "Suppose you received the necessary money and completed your project; what useful results do you believe would emerge from it?" Sometimes they reply: "If you give us the money, we'll find out the answer." This is what I call a "blank check" type of request, and few foundations find them attractive. On the other hand, in the case of appeals for support for "pure" as opposed to "applied" research projects, a foundation is obliged to ignore this factor and rely instead on the professional reputation of the individuals proposing the projects.

A foundation executive usually wants to have a timetable for a new proposal submitted to him so that he may have some idea when the venture will hopefully be completed. Sometimes it is necessary for him to guess whether it may subsequently be necessary for him to keep in close touch with a researcher or organization officials. This is particularly so if he thinks the latter may have difficulty bringing the new venture to a successful conclusion.

Another question which is asked during the appraisal of a project is whether it has any "multiplier" value inherent in it. In other words, if the proposal proves to be a success, what is the likelihood that more than one institution or organization will benefit from it?

Step 5-Question of Cost:

At this point the dollar sign enters the equation. Would the proposed undertaking be worth its estimated cost? In the case of a proposed new building the answer to this question is not hard to find. But for projects related to the promotion of human values, the attempt to equate estimated costs with hoped-for results can be a troublesome process. In fact, beyond a point, it is impossible.

For example, I recall having fussed for almost two years over a request from an organization which was then known as the National Council for Religion in Higher Education. The Council operated a rather unusual fellowship program (called the Kent Fellowship) in the field of religion in higher education. It took two of my associates and myself over two years to agree that the price tag involved in this proposal was reasonable in terms of the results being achieved by the program. Eventually we became convinced on this point and a grant was made to that organization.

A foundation executive also considers whether the backers of a proposed new project might be able to obtain the needed sums of money from their own resources. In other words, what priority does the requesting agency place on its own proposal? If it assigns a low priority, the proposal is probably not worth implementing. On the other hand, if a large organization making an appeal assigns a top priority to a new venture, the chances are it should try to pay for it out of its own resources, and, if necessary, eliminate some low-priority item from its overall budget in order to be able to do so. Thus, in this sense, contributions from foundations might often be considered marginal money.

Most foundation executives like to analyze the budget of a project in some detail. The heading and price-tag assigned to each item in the budget provide a good means of judging which of the project's component elements may be safely eliminated without jeopardizing prospects for its success.

In this connection, I recall an appeal we received not long ago for a new venture in an important area of scholarship. The project impressed us as being worthwhile in most respects except that several items within its budget appeared to be more costly than necessary. When I asked the professor heading the project about it, he smiled and replied he had been advised that one should always "pad" a request to a foundation. After I pointed out the places I thought were padded, he agreed to revise the budget downward. Ultimately we contributed one-half the amount requested. And I am glad to say this venture is now proceeding successfully.

Step 6-Management Evaluation:

Assuming that the project survives all the tests outlined above, the next question is will its proponents be able to carry out the proposal effectively? Most organizations reflect the personalities and operate in accordance with the capabilities of their leaders. Therefore, after screening the initial written request, it is crucial for the foundation executive to have several personal interviews with the key persons making the proposal. I can recall in a number of instances listening to requests being endorsed orally by what might be called "big names" in business and other fields, when in the space of a few minutes of conversation it became almost painfully evident that the top brass actually knew comparatively little about the operations of the agency and were only lending a brief amount of their time to it. On the other hand, if a person of eminent stature presents a request with which he demonstrates true familiarity, this can be an important factor in evaluating a proposal favorably.

The foundation executive may also visit the office of the organization making the appeal, or an institution's campus. It is curious how differently some people appear in their own offices than they do while waiting for the foundation receptionist to usher them into the "inner sanctum!" So much of the business of administering philanthropy consists in sizing up persons and estimating the potential worth of their output in the future that I believe this sixth step in the appraisal process is the most important one of all.

Step 7-Selling the Project:

The last step taken by a foundation executive in evaluating a request occurs after he is personally "sold" on the idea of making a grant but begins to wonder whether he in turn can "sell" the project to other members of his staff or to his own trustees. In the case of the large foundation this

process may involve the use of "program committees" in appraising an appeal. The membership of such a committee may include one or more of the fund's officers as well as several staff personnel specializing in various fields. The idea is that an "interdisciplinary" type of review (similar to oral examinations given to candidates for doctoral degrees) is likely to result in a more comprehensive consideration and screening of the appeal.

The problem confronting foundation trustees who wish to evaluate requests in depth is not an easy one. In the case of the larger foundations, trustee meeting agenda usually contain dockets outlining such a variety of proposals that the trustees cannot be expected to explore all of them in any great detail. Consequently, much depends on the degree of confidence they place in the members of the staff. In the typical foundation I believe the trustees are usually inclined to go along with most recommendations on the grounds that the details of many projects are technical in nature, and that the chief functions of a trustee are to define overall policies and to make sure that the staff abides by them. But this is not a universal rule, and occasionally a trustee is likely to take a very lively interest in evaluating a proposal which happens to fall within the area of his own particular vocation or special competence.

In conclusion, I would summarize by saying that once the proposals sent to foundations have been screened out and the unsuitable ones declined, the process of evaluating the comparatively few remaining requests consists in assisting in the structuring of new projects by attempting to envision and provide for all of the operational features needed to help make these ventures a success. In this process the conveyance of the funds granted by a foundation is the last but by no means the most important step; and when discussing an appeal, particularly in instances where it is not possible to make a grant, foundation executives try to be as helpful as they can.

THE RED TAPE

(FROM ONE END OF THE CAMPUS TO THE OTHER)

ROLES AND SERVICES OF THE DIVISION OFFICE

If you wish to submit a proposal for external funding through the Division of Teacher Education, the following roles are assumed and services (optional) will be rendered.

Roles

* The Division Director should be alerted at the earliest possible date of a faculty member's intent of proposal development so that all existing resources can be put at the developer's disposal.

* The proposal must be read by the Associate Director for External Proposal Development (a draft form is preferable).

* The proposed budget must be approved by the Associate Director for External Proposal Development.

* The "School of Education Supplementary Route Sheet" must be signed by the Program/Project Director and the Division Director (sample in the next section).

* The "Route Sheet for Extramural Support Program" must be signed by the Division Director (sample in next section).

Services (Optional)

* Assistance with the development/writing of selected proposal elements.

* Assistance with the formating of proposal contents.

* Assistance with graphic presentations.

* Assistance with budget formulation.

* Assistance with procurance of appendices' materials (e.g. letters from school superintendents, state education departments, etc.).

* Assistance or total execution of the "ritualistic walk thru" (standing by or sitting through eight readings and obtaining eight signatures). This service is perceived by many to be most helpful.

Approved
Coordinating Associates
Nov. 12, 1973

INTERNAL ROUTING (SCHOOL OF EDUCATION)

courtesy of:

Office of Associate Dean for
Research and Advanced Studies
School of Education
Indiana University
Bloomington, Indiana 47401

School of Education Supplementary Route Sheet
for Proposals for Outside Funding

_____
Date

Proposal Title _____

_____

Investigator or Director _____

Approvals:

Project Director _____

Please attach:

1. A draft memo addressed to the Dean of Faculties requesting the appointment of replacement personnel to be paid with Indiana University funds which will be saved if this proposal is approved. (The draft will be held by Dean Scott and used only if the proposal is funded.)

2. Carbon of chairman's memo to investigator or director stating his anticipated total load during the project period if it is funded.

Divisional Director _____

Louis Cooper in the Office of Administrative Services _____

(A preliminary conference with Mr. Louis Cooper and the use of the budget worksheets available from his office should prove helpful.)

Human Resources Committee Chairman _____

(A signature is needed here only if human subjects are to be used.) Dr. Ernest Horn, Graduate Division, is committee chairman.)

Dean of the School _____

Addition to Internal Route Sheet for Outside Funded Project Proposals

Note: See Mr. Cooper or Mr. Scritchfield in Room 115 or Mr. Horvat in Room 235 for help in completing this form.

1. Duration of contract _____ months

2. Total dollar amount of overhead requested (indirect costs) $ _____

3. Will additional space be required to house the project if it is funded? If so, describe the space needed in terms of the number of rooms required, total personnel to be housed, and special space and storage needs if any.

4. Will additional equipment be needed to manage and implement the project? If so, please list the major items of equipment on the checklist below.

   a. _____ Typewriters (manual) (electric)

   b. _____ Secretarial desks and chairs

   c. _____ Faculty desks and chairs

   d. _____ Bookshelves

   e. _____ File cabinets

   f. _____ Other equipment, please describe

5. Will you please inform the Administrative Services Office immediately if the project is funded so that every effort can be made to meet your space and equipment needs.

EXTERNAL ROUTING (THE UNIVERSITY)

courtesy of:

Office of Vice-President for
Research and Advanced Studies
210-Bryan Hall
Indiana University
Bloomington, Indiana 47401

Instructions for Preparing and Routing Proposals for Extramural Support
(Revised July 1972)

(1) The proposal should be prepared in the name of the Indiana University Foundation* and arranged for the signature of John W. Ryan, Chairman, P.O. Box F, Bloomington, Indiana 47401, telephone 812-337-7237, as the officer authorized to sign for the institution. The name of the financial officer is John T. Hatchett, Assistant Secretary whose address and telephone number are 210 Bryan Hall, 812-337-7340. The proposal will be submitted from the Contract Administration Office, 210 Bryan Hall.

*If the proposal is being sent to an agency of the State of Indiana, it should be prepared in the name of Indiana University and arranged for the signature of W. George Pinnell, Vice-President and Treasurer, Bryan 210, Bloomington, Indiana 47401. The same rule applies if the proposal is being sent to the National Endowment for the Humanities.

(2) If any additional staff, space, remodeling, equipment, and/or office laboratory furnishings are required for which sufficient funds are not being requested in the proposal, an itemized estimate of costs should be appended, in quintuplet, to the route sheet. This should be accompanied by the departmental chairman's endorsement and any relevant additional information, since any commitments of the University regarding these matters are important.

(3) It is suggested that the budget be checked with Ben Chambers, Contract Administration Office, Bryan Hall 210, telephone 337-7237 before preparing the proposal in final form. Budget review by the Chancellor's Office several weeks before final proposal completion will greatly expedite the final process.

(4) If experimental animals are to be used this must be reported to the Office of Laboratory Animal Medicine (Student Health Service 412).

(5) If the agency or foundation to which the proposal is submitted requests any major change in the terms of the proposal, including the budget, clearance should be made through the Office of Research and Advanced Studies and the Contract Administration Office.

(6) The attached "Route Sheet for External Support Program" should be filled out and attached to the proper number of copies of the proposal.

(7) In addition to the number of copies required by the supporting agency or foundation, include three additional copies of the proposal for distribution to relevant University officials.

(8) Please allow a minimum of two weeks for processing to make the mailing deadline date.

(9) The following statement on Conflicts of Interest, as prepared jointly by the Council of American Association of University Professors and the American Council on Education, has been subscribed to by Indiana University. The signature of the principal investigator on the route sheet indicates that he and his co-workers have read the statement.

<u>Conflict Situations</u>:

(1) Favoring of outside interests. When a University staff member (administrator, faculty member, professional staff member, or employee) undertaking or engaging in Government-sponsored work has a significant financial interest in, or a consulting arrangement with, a private business concern, it is important to avoid actual or apparent conflicts of interest between his Government-sponsored University research obligations and his outside interests and other obligations. Situations in or from which conflicts of interest may arise are as follows:

a. Undertaking or orientation of the staff member's University research to serve the research or other needs of the private firm without disclosure of such undertaking or orientation to the University and to the sponsoring agency.

b. Purchase of major equipment, instruments, materials, or other items for University research from the private firm in which the staff member has the interest without disclosure of such interest.

c. Transmission to the private firm or other use for personal gain of Government-sponsored work products, results, materials, records, or information that are not made generally available.

d. Use for personal gain or other unauthorized use of privileged information acquired in connection with the staff member's Government-sponsored activities. (The term "privileged information" includes, but is not limited to, medical, personnel, or security records of individuals; anticipated material requirements or price actions; possible new sites for Government operations; and knowledge of forthcoming programs or of selection of contractors or subcontractors in advance of official announcements.)

e. Negotiation or influence upon the negotiation of contracts relating to the staff member's Government-sponsored research between the University and private organizations with which he has consulting or other significant relationships.

f. Acceptance of gratuities or special favors from private organizations with which the University does or may conduct business in connection with a Government-sponsored research project, or extension of gratuities or special favors to employees of the sponsoring Government agency, under circumstances which might reasonably be interpreted as an attempt to influence the recipients in the conduct of their duties.

(2) Distribution of effort. There are competing demands on the energies of a faculty member (for example research, teaching, committee work, outside consulting). The way in which he divides his effort among these various functions does not raise ethical questions unless the Government agency supporting his research is misled in its understanding of the amount of intellectual effort he is actually devoting to the research in question. A system of precise time accounting is incompatible with the inherent character of the work of a faculty member, since the various functions he performs are closely inter-related and do not conform to any meaningful division of a standard work week. On the other hand, if the research agreement contemplates that a staff member will devote a certain fraction of his effort to the Government-sponsored research, or he agrees to assume responsibility in relation to such research, a demonstrable relationship between the indicated effort or responsibility and the actual extent of his involvement is to be expected.

(3) Consulting for Government agencies or their contractors. When the staff member engaged in Government-sponsored research also serves as a consultant to a federal agency, his conduct is subject to the provisions of the Conflict of Interest Statutes (18 U.S. C. 202-209 as amended) and the President's memorandum of May 2, 1963, Preventing Conflicts of Interest on the Part of Special Government Employees. When he consults for one or more Government contractors, or prospective contractors, in the same technical field as his research project, care must be taken to avoid giving advice

that may be of questionable objectivity because of its possible bearing on his other interests. In undertaking and performing consulting services, he should make full disclosure of such interest to the University and to the contractor insofar as they may appear to relate to the work at the University or for the contractor. Conflict of interest problems could arise, for example, in the participation of a staff member of the University in an evaluation for the Government agency or its contractor of some technical aspect of the work of another organization with which he has a consulting or employment relationship or a significant financial interest, or in an evaluation of a competitor to such other organization.

Supplemental Instructions to Accompany Route Sheet

The current indirect cost rates are the following:

	ON CAMPUS	OFF CAMPUS
RESEARCH	60% of salaries and wages	36.5% of Salaries and Wages
OTHER SPONSORED PROGRAMS	61.3% " " "	35.9% of Salaries and Wages

NOTE: These rates are to be applied to salaries and wages only, not to fringe benefits. Also, these rates are fixed only to June 30, 1974.

The current fringe rates are the following:

	NON ACADEMIC	STUDENTS (incl. Assts)	ACADEMIC/ PROFESSIONAL
Fringe benefits for insurance	2.9%	0	2.9%
OASI (Social Security) Applied to the first $10,800 paid in the calendar year including summer salary	5.85%	0	5.85%
PERF (Public Employees Retirement)	3.5%	0	0
TIAA-CREF (Teachers Insurance and Annuity Association)	0	0	12.25% (Summer salary excluded)
Total	12.25%	0	21.00%

A budget submitted to the National Science Foundation should not show a column for the University's contribution but include the following statement at the bottom of the budget page: "Indiana University will cost-share in accordance with current NSF policy." Specific questions regarding the budget should be directed to Ray Martin, 337-7237.

Proposals are generally submitted in the name of the Indiana University Foundation. The address and the designated officers for proposals are:

Indiana University Foundation
P.O. Box F
Bloomington, Indiana 47401

Authorizing official (Signature line required)	Fiscal Officer (Generally no signature needed)
John W. Ryan, Chairman Indiana University Foundation Telephone: Area 812 337-7237	John T. Hatchett Assistant Secretary Indiana University Foundation Telephone: Area 812 337-7340

If a proposal must be submitted in the name of Indiana University, the address and designation of officers are the following:

Indiana University
Office of the Vice President and Treasurer
Bloomington, Indiana 47401

Authorizing official (Signature line required)	Fiscal Officer (Generally no signature needed)
W. George Pinnell Vice President and Treasurer	W. George Pinnell Vice President and Treasurer

Route Sheet for Extramural Support Program

Indiana University-Bloomington Campus

Please do not complete before reading Instructions for Preparing and Routing Proposals.

To be forwarded in sequence through the offices indicated under approvals, with 3 file copies and _____ copies for transmittal to the agency. The fully approved proposal is to be mailed to the agency on or before _____.

Name and address of agency to receive proposal:
_____
_____
_____

A. Project title _____

B. Principal Investigator: _____
Name and Title Department

C. Type of Proposal (check):

_____ New
_____ Renewal of contract or grant no. _____
_____ Supplement to contract or grant no. _____
_____ Other _____

_____ Research
_____ Training
_____ Equipment only

D. Components of proposal:

Total funds requested: $_____ For period from _____ to _____

Graduate student support: For approximately _____ students over a period of _____ year(s) at an estimated total cost of $_____

Faculty released teaching time:

Name and Title	%	Period	Department	Chm's App.
_____	___	_____	_____	_____
_____	___	_____	_____	_____

* Special needs: (Follow the accompanying Instructions for Preparing and Routing Proposals and obtain necessary approvals before the proposal is completed.)

* Additional space necessary? Yes _____ No _____ Sq. ft. _____

* Remodeling necessary? Yes _____ No _____ Estimated total cost ___

* Computing services: Check if Research Computing Center _____ will be needed and estimate total megaword seconds required _____ and total cost $ _____

E. Will human subjects be used in your research? Yes _____ No _____ If so, statement on Use of Human Subjects should be signed and accompany proposal.

F. Signature: The signature of the principal investigator signifies that he and his co-workers have read the attached instructions and conflicts of interest statement.

Signature _____ Date _____

Approvals:	Signature	Date
* Special needs	_____	_____
	_____	_____
Departmental chairman	_____	_____
Dean of school	_____	_____
Chancellor-Bloomington Campus	_____	_____
Vice President for Research	_____	_____
Contract Administration Office	_____	_____

* Special needs include: Research Computing Center-Contact Frank Prosser (337-1911)
Space Outside Department-Contact Gary Sutton (337-7361)

Date mailed to Agency (completed by Contract Administration) _____

AN EPILOGUE WITH GOOD HUMOR

(IS IT WORTH IT???)

IF YOU LOSE ON EVERY SALE, MAYBE YOU CAN MAKE UP FOR IT IN VOLUME

by:

Michael Chiappetta
Professor of Education
Chairman, Department of Comparative and International Education
Indiana University
Bloomington, Indiana 47401

courtesy of:

PHI DELTA KAPPAN
vol. 54, no. 10 (June,'73)
back cover, a publication of Phi Delta Kappa, International Headquarters
Bloomington, Indiana 47401

On a dark and dreary day last winter, that recent addition to Washington bureaucracy, the National Institute of Education, announced that it would distribute $7.5 million dollars in small grants ($10,000 to $50,000 per grant) to educators who could propose worthwhile research.

In retrospect it doesn't seem believable, but it was and is true: Applications for those grants were to be submitted in twenty-plicate! Even so, grantsmanship, somewhat dormant in the face of wintry blasts from an economy-minded administration, sprang to life. Across the country teams of researchers began to meet, to talk, to outline, to write, to concoct budgets, to call colleagues at other institutions, to divine the criteria by which approvals would be gained; in short, to bring into life "The Proposal" which would elicit from fair Washington the final blessing - money. That's grantsmanship.

What happened? On the magic date, February 23, 1973, there were unmistakable signs that a phenomenon worth recording had occurred. The Post Office had dumped 6,000 proposals on NIE's doorstep. Six thousand! At Indiana University we were thunderstruck by this news, but at first it was only an awe born of logistic considerations. For example: If each proposal was 35 pages long (the average of the 27 proposals emanating from Bloomington) and each proposal was sent in twenty-plicate, then no less than 4,200,000 sheets of paper inundated the receiving office in Washington. Four million two hundred thousand pages! That is approximately 25,000 pounds or 12.5 tons of paper. The paper-management problems alone are enough to frighten any office in the country except perhaps the Pentagon.

Our somewhat rural Indiana observation might have stopped there if it had not been for the fact that we began to mull over the economics of the escapade. Just what did it cost to put together the 6,000 proposals? Let us reconstruct some of the details. We know that at least one major professor was involved in the development of each project. He had to invest at least six days in thinking, talking, writing, editing, and seeking administrative approval of his project. In most cases, if there was to be collaboration-a highly desirable characteristic-at least two other professors

would have been involved for a minimum period of three days. At least two graduate students must have been involved for five days. Let us add it up: A major professor costs at least $20,000 per year or $100 per day. That's $600. Two other professors at $75 for three days makes another $450.* Two graduate students, especially if on assistantship status, cost a minimum of $10 a day, so we add another $100. New total: $1,150. Indiana University rightfully charges 60% overhead when applying for "soft" money, since it provides space, light, heat, office equipment, library and computer services, so we must add 60% of 1,150, or $690, to come up with a professional cost of $1,840.

We all know that the most important part of proposal writing is secretarial. It is obvious that a 35-page document written by at least five people, approved by at least three levels of administrators, and requiring budget clearance would require at least three typings. At five pages an hour-a phenomenal rate for three carbons-that makes at least seven hours per version, but let's be conservative and estimate only half a week's salary for the finished product. That comes to a neat $50, if your secretary's salary is slightly above the starvation levels usually paid in university towns. Then there's paper, tons of it-as noted before. Getting to the final version must have used the three go-rounds mentioned plus some waste caused by errors, so let's estimate 500 sheets. A ream of regular typing paper costs no more than $5, so add that to the bill. In the interest of economy, and not to pad the bill, let's forget the carbon paper. But we cannot forget the paper needed for the 20 copies. At I.U. we Xeroxed our copies-not 20 but 28, since copies were needed in two deans' offices, two vice presidents' offices, and the treasurer's office. Besides, it was thought that we should keep a couple of copies on hand in the originating department. So that's 28 x 35 or 980 sheets of paper for each proposal. Our Xerox costs are about 3.5 cents per sheet, so let's add $35, which could include wastage and staples, and not charge any new labor for Xeroxing and collating. We can't overlook the postage, however, since bulk does get noticed in mail pouches; so there must be at least a $5 charge for getting the proposal to Washington. Adding this subtotal of $95 to the $1,840, we get $1,935.

One final cost item must be added. At I.U. each proposal has to be approved by the department head, division head, associate dean of education, a vice president for research and advanced studies, the graduate dean, and the treasurer's office. In our School of Education we had the full cooperation of an assistant dean for purposes of organizing the proposal in accordance with presumed understanding of the National Institute of Education's criteria for judging the proposals. Let us estimate that a minimum of eight hours of administrative time was invested in all the advisement and approval processes. That's one day's work, so let's add another $100. Grand total: $2,035.

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*The cynic will suggest that one should consider the time professors spend on proposals that go nowhere a social gain, since it keeps them away from more mischievous activities. I am not such a cynic.

There were 6,000 proposals seeking the money offered by the National Institute of Education. At $2,035 per proposal it means that the educational community invested $12,210,000 in order to obtain $7,500,000. Say that again! Yes, the educational community invested $12,210,000 in the development of proposals to spend $7,500,000.

So this is the new economics of grantsmanship. For some time now there has been a vague and general suspicion that getting grants may not be as profitable as in the past. Putting aside matters of principle, this analysis may illustrate the fact that there is a point below which it is not feasible for the research community to seek funds, and a given institution faced by 1 in 40 odds might decide wisely that it can't afford the costs of preparing proposals. It may even be that the educational research community should conclude that grantsmanship is a losing game and concentrate on its primary business, research.

In this instance Indiana University invested 27 x $2,035 or $54,945 in the hope that it would get more than its arithmetic share of the funds, 27/6000 of $7,500,000, or $33,750. It remains to be seen what sort of payoff I.U. does get, but if I.U. does well on its investment, it simply means that other institutions will do worse.

I didn't start this note with a broad policy issue in mind. Before it is overtaken by such considerations, let us leave well enough alone. Certainly there is much to think about here. Let's do that; think, that is.

A FED's-EYE-VIEW OF CHIAPPETTA

by:

Thomas D. Clemens
Acting Associate Director
for R & D Resources
National Institute of Education
Washington, D.C.

courtesy of:

PHI DELTA KAPPAN
vol. 55, no. 2
(October, 1973),
p. 156, a publication of
Phi Delta Kappa,
International Headquarters
Bloomington, Indiana 47401

I read with much interest and amusement the report by Michael Chiappetta and his two associates, "If You Lose on Every Sale, Maybe You Can Make Up for It in Volume," June Kappan. However, at the risk of being called a bureaucratic wet blanket, I have to take issue with a few of its statements.

The National Institute of Education announced a field-initiated studies program on January 19, 1973. It was designed to encourage researchers to submit proposals on topics promising to extend knowledge about American education. We felt it would go a long way toward making researchers aware that the NIE was interested in what they were doing and thinking. We anticipated a lot of responses, but were totally unprepared for the slightly fewer than 3,000 proposals we did receive. In addition to being stunned by the forest of paper, we also were somewhat nonplussed by what was on some of the paper.

I must say here that the steps for submitting a proposal Mr. Chiappetta outlined are exemplary. All of us at the NIE hope that those who submit proposals in the future will adhere to Indiana University's proposal review procedure. If these practices had been universal this time, the number of proposals we received probably would have been cut in half. From my personal reading of over 400, I judge that at least 50% of the proposals were old and apparently had either been submitted to some other agency or filed away like a good Bordeaux to improve with age. This is one way to cut the professional and clerical costs Mr. Chiappetta bemoans. However, even we slow-witted bureaucrats can tell something is a little funny when the date on the cover sheet reads one year and five months before the program was announced and is addressed to an office in the Department of Labor. If I had an old chestnut like that lying around, I'd say, "Damn frugality, full speed ahead," and type a new cover page...

There was another feature of the proposals which, had it been nipped in the bud, would have cut down drastically on the number left on our doorstep... The proposals had to be research-oriented and they had to be significant to American education... So you start to wonder when people ask you for money to take a trip abroad or write a book about their experiences on the farm.

A final, more personal note to Mr. Chiappetta et al. I hope and pray that you paid more attention to fact in the proposals you submitted than in the article you wrote. With apologies in advance for being a petty, back-biting bureaucrat, I have to give some instances where the story went astray...

First, we did not announce we would distribute $7.5 million in small grants. We announced that we would award between $7.5 million and $10 million in six categories, one of which was small grants. There was no preconception as to how much we would award in each category; that would depend on the number of proposals worth supporting. And the maximum amount for each small grant was to be $10,000, not $10,000 to $50,000.

The "magic date" of February 28 when proposals were supposed to be in was close, but incorrect. Proposals in the small grants and general grants categories had to be postmarked no later than March 1 to be eligible. February 17 was the postmark date for prospectuses (not full-fledged proposals) in the four selected disciplines.

I don't want to belabor a point, or cast myself in the role of a humorless nit-picker, but merely to present a "fed's-eye" view of the situation. Our program wasn't intended to be a repository for a great number of dated reports. It wasn't intended to turn out that way-and I don't think it did. We are funding about 190 good proposals, which complied with what we thought were the prime criteria of the program. They promised to be relevant to American education, they were research proposals, they were clearly worded and concise (few as long as 35 pages), and they were well thought out. That's really all it took.